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ABSTRACT

The potential of programs supported by the Basic State Grants section of the federal Adult Education Act was evaluated; the first interim part of the study provides descriptive information on the adult education service delivery system. The study drew primarily on data collected from two surveys of local adult education programs--a universe survey of 2,619 local programs (93 percent response) and a program profile of a representative sample of 139 local programs (94 percent response). Some of the findings of the study are the following: (1) 3.7 million clients were served during 1989-90--57 percent females, 43 percent between 16-24 years old, 17 percent black, and 13 percent Hispanic; (2) 2,819 programs were supported by the Adult Education Act during the year ending June 30, 1990, with 70 percent of programs administered by local education agencies and 15 percent by community colleges; (3) most programs had fewer than 500 clients, and about half of the programs serve rural areas; (4) more than 80 percent of adult education instructors work part time; (5) 35 percent of clients are enrolled in adult basic instruction, 30 percent in English as a Second Language, and 30 percent in adult special education; (6) most programs scored low on "professionalism," although most clients were in programs that rated high on this factor; (7) programs that showed high degrees of service integration were mostly very large and located in metropolitan areas; (8) programs use multiple techniques to recruit clients, especially media announcements, referrals, fliers, posters, and mailings, and current client recommendations; and (9) almost half of the programs were under capacity, whereas 25 percent had waiting lists. (Appendixes include the survey forms and 12 references.) (KC)

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NATIONAL EVALUATION OF ADULT EDUCATION PROGRAMS

First Interim Report

PROFILES OF SERVICE PROVIDERS

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NATIONAL EVALUATION OF ADULT EDUCATION PROGRAMS

First Interim Report

PROFILES OF SERVICE PROVIDERS

Contract No. LC90065001

March 1992

Prepared for:

U.S. Department of Education
400 Maryland Avenue, S.W., Room 3122
Washington, D.C. 20202

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This report is pursuant to Contract No. LC90065001. The names of the persons employed or retained by Development Associates, Inc., with management or professional responsibility for this phase of the project and this report are listed below. The amount to be charged to the U.S. Department of Education for the entirety of this contract is approximately $2,839,740.

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The views expressed in this report developed under contract to the U.S. Department of Education do not necessarily reflect the position or policy of the Department, and no official endorsement by the Department should be inferred.

EXECUTIVE SUMMARY

Study Purpose

In September 1990, the U.S. Department of Education initiated the national evaluation of federally supported adult education programs. The central purpose of the study is to evaluate the potential of programs supported by the Basic State Grants section of the federal Adult Education Act "for significantly reducing deficits in the adult population with respect to literacy, English proficiency, and secondary education." The purpose of the evaluation's first interim report is to provide descriptive information on the adult education service delivery system.

Sources of Information

The report draws primarily on data collected from two surveys of local adult education programs -- a Universe Survey and a Program Profile. The first, conducted in the fall of 1990, was a survey of all federally supported adult education instructional service providers. Data were obtained from 2,619 local programs or 93 percent of the 2,819 programs receiving federal Basic State Grants funds in the program year ending June 30, 1990. The second, the Program Profile, was a survey of a nationally representative sample of 139 local programs. The 131 sample programs responding between May and November 1991 (94 percent) provided information which was more detailed than obtained from the Universe Survey. Throughout the report, the data have been weighted so that they provide estimates of the universe of service providers. Where national estimates are from the program sample, the sampling error varies from generally moderate to quite large.

Major Study Findings

Who is being served?

- A total of 3.7 million clients were served during the 1989-90 program year. In October 1990, 1.67 million clients were enrolled. Of all States, California served the largest number of clients (1.16 million, or 31.3 percent of the national total).

- Fifty-seven percent of the enrolled clients are female; about 43 percent of clients are between 16-24 years old and 9 percent are 60 years and older; and 62 percent of clients are White, not of Hispanic origin; 17 percent are Black, not of Hispanic origin; and 13 percent are Hispanic.

- Nearly 60 percent of all adult education clients are served by programs in metropolitan areas.

Who provides the services?

Administrative agencies

- There were a total of 2,819 programs supported by the federal Adult Education Act during the year ending June 30, 1990.
- Most programs are administered by local education agencies (70 percent) and community colleges (15 percent).
- About 77 percent of all programs have enrollments of less than 500 clients during the fall term.
- 55 percent of all programs serve non-metropolitan, predominantly rural areas.

Staff

- Most (over 80 percent) adult education instructors work part-time; approximately 95 percent have college degrees; 44 percent of the full-time instructors and 34 percent of the part-time instructors have a Master's degree or higher; and 87 percent of full-time instructors and 88 percent of part-time instructors are certified to teach, although not necessarily in adult education.
- Overall, 85 percent of adult education instructors have participated in pre-service or in-service training in the past year.
- Approximately three-quarters of programs use volunteers, most typically as tutors.

What services are provided?

Type of service

- Thirty-five percent of clients are enrolled in ABE instruction, 30 percent in ASE instruction, and 35 percent in ESL instruction.
- Programs tended to describe themselves as using program designed or selected materials (as opposed to student designed or selected materials), as using nationally normed tests (versus criterion referenced tests), and as having students participate in evaluating their own learning gains. Over half of the programs reported that individual instruction was used "a great deal" of the time.

- The typical ESL client attends class between 5-11 hours per week; while the typical ABE and ASE client attends between 5-13 hours per week. On the average, classes are held for a little over 10 months per year, with ESL classes being held for a slightly longer period than ABE and ASE.

- Testing to assess the needs of new clients is more frequently used for ABE (84 percent of programs) and ASE (87 percent of programs) than for ESL (62 percent of programs). The most frequently used assessment instrument used with ABE clients is the Test of Adult Basic Education (TABE) (used by 68 percent of programs).

Program Finance

- Accurate information on the sources of funds from local program directors was not uniformly available. Although directors know how much money their programs have and how those funds are spent, frequently they do not know the breakdown among various federal and state funding sources of the monies they receive. In the future, studies seeking this information need to conduct a preliminary survey of state directors of adult education to determine on a state-by-state basis the most appropriate source in each state for each funding source of particular interest.

- Among local programs, 61 percent of funds are devoted to instructional staff, 19 percent to administration, 10 percent to materials, 5 percent to facilities, and 5 percent to other program expenses.

Assessment of Program Operations

A review of program related literature identified four aspects of program operations which are of particular interest to program directors and policy makers. Variables were created which permitted the description of programs in terms of program professionalism, services integration, effort expended on outreach and recruiting activities, and effort expended on retaining their clientele. Of particular interest, it was found that:

Professionalism

- Although most programs score low on the study's measure of professionalism, most clients were in programs which score relatively high.

- Programs which scored highest on professionalism were those which:

  - were very large;
  - provided predominantly ASE or ESL instruction;
  - used highly individualized instruction; and
  - were sponsored by community colleges and large public schools.

Services Integration

- Programs which scored highest on services integration were those which were:

  - very large;
  - located in metropolitan areas;
  - sponsored by Regional Education Service Agencies (RESAs); and
  - providing predominantly ABE instruction.

Outreach and Recruiting Efforts

- Programs utilize multiple techniques to recruit clients, with the most common being announcements in the media; referrals from other agencies; fliers, posters, and mailings; use of an assigned staff member; and recommendations by current clients.

- Sixty-five percent of programs reported that there were other programs in their community providing adult education services similar to those that they were providing. This was more likely to occur in metropolitan areas than in smaller communities.

- Programs which had a high score on outreach were those which were:

  - middle-sized;
  - located in rural areas;
  - sponsored by public schools; and
  - providing predominantly ASE instruction.

Client Retention Efforts

- In 41 percent of the programs, ESL classes were below capacity; in 48 percent of the programs, ABE classes were below capacity; and in 52 percent of the programs, ASE classes were below capacity. On the other hand, in October 1990, 25 percent of programs reported having clients on waiting lists.

- Programs which scored highest on retention efforts were those which were:

  - large (i.e. over 1000 clients);
  - located in metropolitan areas;
  - sponsored by RESAs and community colleges; and
  - comprised of more ASE clients.

ACKNOWLEDGEMENTS

This report was made possible by the help and cooperation of many individuals. The study's Technical Advisory Group (TAG) has made numerous helpful suggestions. While their suggestions may not have always been followed, we have always been impressed by their thoughtful and carefully reasoned counsel. The TAG is comprised of: Hal Beder, Connie Eichorn, Rachel Hidaka, Noreen Lopez, Jane MacKillop, Lennox McLendon, and Jack Mezerow.

Thomas B. Jabine has provided many useful comments, suggestions, and has been the intellectual engine behind the sampling procedures. He has offered consistently helpful, thoughtful, and practical advise. Larry Hotchkiss provided many helpful suggestions and constructive comments.

We also wish to acknowledge the significant help and contributions from Development Associates staff, particularly Paul Hopstock for sampling and analysis segments, and George Gray-Molina, Laura Williams and Alfonso Aguilar for programming, editing, and production.

Rob Barnes, our project officer from the Department of Education, deserves credit for his guidance in the development of Chapter 3, and for his review and comments on various drafts of the full report.

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Finally, any acknowledgements would be inadequate if they failed to offer our thanks to the adult educators that are participating in our study. Without their help, this study would not have been possible. State Directors of Adult Education have served to impart to local programs the importance of this endeavor, and local Program Directors have been instrumental in gaining the support of their staff and clients. We want them to know that their efforts have not been overlooked, nor their importance underestimated.

Malcolm Young, Project Director
Mark A. Morgan
Howard Fleischman

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GLOSSARY OF TERMS

ABE	Adult Basic Education - Programs designed for adults functioning at or below the eighth grade level.
ABLE	Adult Basic Learning Examination - One of the nationally-normed examinations designed to measure a client's level of achievement.
ASE	Adult Secondary Education - Instruction for adults functioning at the secondary (high school) level. This may culminate with a high school diploma, or may serve as preparation for taking the GED examination.
CBO	Community Based Organization - Usually a private, non-profit organization whose purpose is to address social service needs of particular groups of persons, including the provision of adult education.
CASAS	Comprehensive Adult Student Assessment System - One of the nationally-normed evaluation systems. Designed to assess a number of specific skills.
ESL	English as a Second Language - Or English as a Second or Other Language. Instruction designed to teach English to non-English speakers.
GED	General Education Development - Diploma awarded upon successful completion of a battery of tests. Nationally normed and scored, this is usually awarded to those who have dropped out of high school.
IRCA	Immigration Reform and Control Act - 1986 Act that mandated 40 hours of adult education in ESL and citizenship if the client seeking amnesty had not attained a certain level of education.
JTPA	Job Training Partnership Act - Many JTPA programs have segments which include remedial education provided by adult education programs.
LEA	Local Education Agency - The standard local governmental unit that controls a public school district.

Glossary (continued)

RESA	Regional Education Service Agency - A regional consortium of public schools that coordinate training and service activities for member schools. In some states, essentially similar organizations are called BOCES or ESCs.
SORT	Slosson Oral Reading Test - Standardized national test of reading level for adults.
TABE	Test of Adult Basic Education - Standardized national test to measure level of adult academic achievement.
TI	Technical Institute - A post-secondary vocational or technical training facility.
WRAT	Wide Range Achievement Test - Standardized national test of adult educational attainment.

Chapter 1
INTRODUCTION

The President has challenged adult Americans to "go back to school" and make this a "Nation of Students".[1] Logically, the millions of adults who experience personal, social and economic disadvantage due to inadequate basic education or the inability to communicate proficiently in English should be among the first to return. These are the persons targeted for service by the federal Adult Education Act (P.L.100-297). Through the Basic State Grants section of the Act, Federal funds are provided to the states, which, operating under approved plans, add state resources and provide instructional services for adults through local school systems, community colleges, and other public and private agencies. These services include adult basic education (ABE), which is equivalent to instruction provided in grades 1-8; adult secondary education (ASE), which is equivalent to instruction provided in grades 9-12, leading to a regular high school diploma or preparation for taking the GED examination; and English as a second language (ESL) for those individuals whose native language is other than English.

A. Purpose of this Report

In September 1990, the U.S. Department of Education embarked on a major national evaluation of federally supported adult education services. The central purpose of the study is to evaluate the potential of programs supported by the Basic State Grants section of the federal Adult Education Act "for significantly reducing deficits in the adult population with respect to literacy, English proficiency, and secondary education." The evaluation began with a mail survey of all federally supported adult education service providers. The second phase is the longitudinal collection of data about the characteristics and experiences of a nationally representative sample of adult education clients. The specific objectives of the National Evaluation of Adult Education Programs and an overview of the study's design are provided in Appendix A of this report.

The purpose of this report is to provide descriptive information on the adult education service delivery system. It sets the stage for analyses of data on client characteristics, persistence, and instructional outcomes, which will be presented at a later stage of the study.

B. Sources of Information

The report draws primarily on data collected from two surveys of local adult education programs -- a Universe Survey and a Program Profile. The first, conducted in the fall of 1990, was a survey of all federally supported adult education instructional service providers. Surveys were obtained from 2,619 local programs, or 93 percent of the 2,819 programs receiving federal Basic State Grants funds in the program year ending June 30, 1990. Enrollment data were obtained from 2599 local programs. A copy of the Universe Survey questionnaire is provided in Appendix B.

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[1] America 2000: An Education Strategy - Sourcebook. U.S. Department of Education. Washington, D.C. 1991.

The second major source of information, the Program Profile, was a survey of the 139 nationally representative local programs that had agreed to participate in the longitudinal phase of the national evaluation. The Program Profile sought information about program recruitment and placement methods, instructional schedules and approaches, staff qualifications, coordination with other agencies, and program finance, which was more detailed than the information obtained from the Universe Survey. The Program Profile data in this report were obtained from the 131 local programs (94 percent) which returned the questionnaire between May and mid-November 1991. A copy of the Program Profile questionnaire is provided in Appendix C.

In addition, at various points throughout the report, data from the study's two surveys are related to data collected during 1979 and 1980 as part of the most recent national survey of federally supported adult education service providers (Young, et al, 1980). The findings are also related to various statistical reports prepared by the U.S. Department of Education.

C. Nature of the Sample Data in this Report

There are four types of sample data which appear in this report. All four types are derived from the sample of 131 service providers, but as Exhibit 1.1 shows, they differ considerably with respect to sampling error.

Exhibit 1.1
Definitions of four types of sample data

Data Type	Definition	Sampling Error
Type 1	Unweighted counts of sample programs	Not applicable
Type 2	Weighted counts of sample programs on characteristics included in the Universe Survey	Variable, but actual error can be determined
Type 3	Sample estimates of aggregate (total U.S.) characteristics strongly correlated with program size	Variable, but generally moderate (see discussion)
Type 4	Weighted counts of sample programs on characteristics not covered in the Universe Survey and not highly correlated with program size	Variable and often large (see discussion)

Discussion of Type 1 Data: Exhibit 1.2 illustrates one use of Type 1 data--namely, to describe the composition of the sample. Comparing the Type 1 data in column 2 with the universe data in column 1, note that the sampling fraction for the smallest programs was about 1/80th (16/1260), while for the largest programs, it was 5/6th

(15/18). The use of probability-proportionate-to-size sampling reflects the fact that the principal focus of the study is on clients, not programs.

Exhibit 1.2
Percent of programs by size in the universe and longitudinal sample

Size of Program (Program Year 1990)	Percentage of Programs				
	(1) Universe Data-All Programs		(2) Sample Programs-Unweighted		(3) Sample Programs-Weighted*
	N	%	N	%	
Small (1-299 clients)	1260	47.0	16	12.2	49.5
Medium (300-19,999 clients)	1401	52.3	100	76.3	49.8
Very Large (20,000+ clients)	18	0.7	15	11.5	0.7
TOTAL	2,679	100.0	131	100.0	100.00

Source: All columns based on Universe Survey: Item 18. Column 2–Sample Type #1; Column 3–Sample Type #2

A second use of Type 1 data is in examining the relationships between the composite variables presented in Chapter 3 among the programs comprising our sample. The question of sampling error is irrelevant here because we are not trying to generalize beyond the sample cases involved, but it is important to keep in mind that our sample is systematically biased in favor of larger programs.

Discussion of Type 2 Data: Column 3 of Exhibit 1.2 offers an example of Type 2 sample data. Note the close agreement with the percentage figures in Column 1 which are based on universe data; the largest difference is only 2.5 percentage points (52.3 vs. 49.8). Perfect agreement would be expected if sample weights had been assigned exclusively on the basis of this size variable. The small differences observed here are attributable to the fact that geographic region was also a sample stratification variable.

As a general rule, Type 2 estimates are presented only in conjunction with other variables unique to the Program Profile questionnaire (i.e. in association with Type 4 data). While Type 2 estimates are subject to sampling error, there is no need to guess about the magnitude of these errors because the true number or proportion can be obtained from the universe data.

Discussion of Type 3 Data: This is the type of data for which our sample is designed to yield efficient estimates–estimates of client characteristics and other characteristics strongly correlated with program size such as staff and expenditures. When measures of size are pooled across sample programs, the resulting estimates are relatively more accurate than estimates where programs are the unit of analysis. For example, in Chapter 3 we estimate that 57.3 percent of all instructors have over 3 years of experience teaching ESL, ABE, or ASE. The standard error of this estimate is 4.9 percentage points and the 95 percent confidence interval is between 47.7 percent and 67.0 percent. By way of comparison, in Exhibit 4.13 (p. 72) we estimate that 54.3 percent of all programs make use of individual instruction "a great deal of the time" (Type 4 data), and the standard error of this estimate is 8.0 percentage points and the 95 percent confidence interval for the estimate is between 40.2 percent and 71.4 percent.

Discussion of Type 4 Data: Whenever we estimate the prevalence of particular program characteristics, across all programs without regard to size, we are presenting Type 4 data. Estimates of this type predominate in this report, since our main purpose here is to report on program characteristics. Unfortunately, since our sample is designed to produce efficient estimates of clients, not programs, these Type 4 estimates are least reliable.

The actual magnitude of Type 4 errors can be suggested by looking at some of the Type 2 estimates, where direct comparisons with universe data are available. For example, about 43 percent of our 131 sample programs are located in metropolitan areas (Type 1 data), but when sample weights are applied, we estimate that just 18 percent of all programs are in metropolitan areas (Type 2 data). Going back to the universe data, however, we find that the true percentage is 25. Thus, despite a moderate positive correlation between urbanicity (of which metropolitan is one value) and size, the actual relative error of our Type 2 estimate is 39 percent (7/18 x 100, where 7 equals the difference between 25 and 18). The range of variation of observed errors for Type 2 data is indicative of the magnitude of the errors that may apply to Type 4 estimates.

D. Organization of this Report

The report is divided into four chapters. Following this brief introduction, Chapter 2 provides an overview of the national adult education service delivery system supported through the Adult Education Act, including estimates of the numbers and characteristics of clients served. Chapter 3, Patterns and Profiles, describes various types of local programs, defined in terms of contextual characteristics and the policy relevant variables of professionalism, services integration, and extent of outreach and retention activities. Chapter 4 provides the results of additional analyses focused on the important topics of instructional characteristics, program staff, and financial support.

Chapter 2
OVERVIEW OF LOCAL SERVICE DELIVERY SYSTEMS

This chapter provides an overview of the federal Adult Education Program, including its goals, funding mechanism, and characteristics of local programs, clients, and staff. The two primary sources of data for this chapter are the Universe Survey of all programs receiving federal Adult Education Act funds, conducted in Fall 1990, and the Program Profile, which collected data from 131 programs participating in the longitudinal phase of the study. Data from the Program Profile were weighted to provide nationally representative estimates.

A. Program Goals

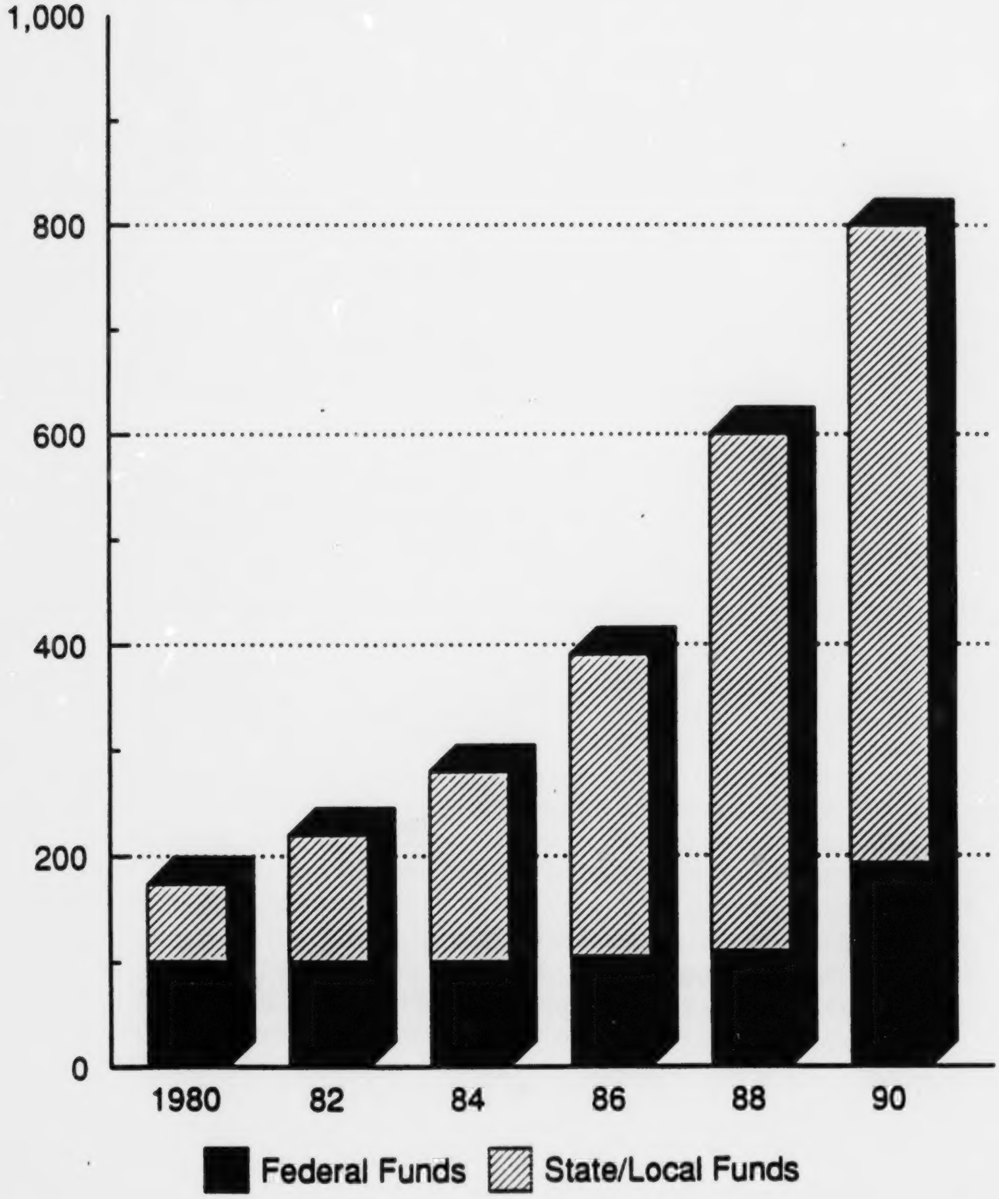
The goals of the Adult Education Program as stated in the amendments to the Adult Education Act of 1988 are:

> to assist States to improve educational opportunities for adults who lack the level of literacy skills requisite to effective citizenship and productive employment, to expand and improve the current system for delivering adult education services including delivery of such services to educationally disadvantaged adults, and to encourage the establishment of adult education programs that will: (a) enable these adults to acquire the basic educational skills necessary for literate functioning; (b) provide these adults with sufficient basic education to enable them to benefit from job training and retraining programs and obtain and retain productive employment so that they might more fully enjoy the benefits and responsibilities of citizenship; and (c) enable adults who so desire to continue their education to at least the level of completion of secondary school.

In the context of programs supported by the Adult Education Act, an adult is an individual 16 years of age or older, and the term "adult education means services or instruction below the college level for adults: (a) who are not enrolled in secondary school; (b) who lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of instruction; (c) who are not currently required to be enrolled in school; and (d) whose lack of mastery of basic skills results in an inability to speak, read, or write the English language, which constitutes a substantial impairment of their ability to get or retain employment commensurate with their real ability and thus are in need of programs to help eliminate such inability."

The Act provides that preference in making grants to local adult education service providers be given to "those applicants who have demonstrated or can

Exhibit 2.1
Trends in federal, state and local funding for adult education



Source: U.S. Department of Education. Program Services Branch, Division of Adult Education and Literacy.

demonstrate a capability to recruit and educate educationally disadvantaged adults." In the terms of the Act, an "educationally disadvantaged adult" is an adult who demonstrates basic skills at or below those of students at the fifth grade level or who has been placed in the lowest level of an adult education program that does not measure students in terms of grade level equivalencies.

In July 1991, the National Literacy Act of 1991 was signed by the President. This Act amended the Adult Education Act by emphasizing program quality and evaluation, access to Federal funds by a wider range of local providers, and training for teachers and volunteers. More specifically, states are required to develop a set of indicators to judge program success and to evaluate 20 percent of grantees each year; to provide equitable access to federal funding by local education agencies, post-secondary institutions, public or private nonprofit agencies, community-based agencies, agencies responsible for corrections education, and agencies that serve the educationally disadvantaged; and to provide for a more professional program staff by funding teacher training efforts.

B. Federal and State Funding

The federal Adult Education Program began in 1965 under the Economic Opportunity Act with a funding level of $18.6 million and the following year was established in the Office of Education under provisions of the elementary and secondary education legislation with a funding level of $20.7 million. In Fiscal Year 1980 the funding level for the Basic State Grants portion of the Act had reached $100 million, and in Fiscal Year 1992 Congress appropriated over $235 million for state grants.

Basic State Grants is by far the largest component of the program. Through this part, formula grants are made to assist states in funding adult education programs, services and activities carried out by eligible recipients to achieve the purposes of the Act. The grants are to be used in accordance with State plans submitted to the Department of Education for approval every four years. Of the Basic State Grant funds that a state receives, not less than 10 percent are to be used for education of residents of correctional and other institutions, and not more than 20 percent for programs of equivalency for a certificate of graduation from a secondary school. Instructional services supported by the Act are carried out within a state by local education agencies and by public or private nonprofit agencies, organizations, and institutions. Based on the responses to the Program Profile questionnaire, approximately 25 percent of programs have received federal Adult Education Act funds for over twenty years, and 10 percent have received such funds for three years or less.

In all states, state and local, as well as federal, funds support adult education. As shown in Exhibit 2.1, the amount of Federal expenditures for adult education rose from $100 million to $193 million between 1980 and 1990. State and local expenditures rose at an even higher rate, from $74 million in 1980 to over $600 million in 1990.

While provisions of the federal Act, such as limiting funds for secondary programs, influence the structure of programs, state laws and regulations are also of major importance to the way services are organized and delivered. The structure of services in a state such as California, which provided the most state and local funding for adult education programs ($204.8 million, or 96 percent of total expenditures, in fiscal year 1989), may not be as influenced by federal regulations as much as in a state like Mississippi, which provides the minimum acceptable match for receiving adult education instructional funds through the federal Act (only 10 percent)[2]. As shown in Exhibit 2.2, 14 states (27 percent) provide significantly less than the federal amount, 11 states (22 percent) provide about the same amount, and 26 states (51 percent) provide considerably more than is mandated through the Act.

Exhibit 2.2
Percent of total funding from state and local sources for activities supported by the Adult Education Act

Extent of State and Local Contributions	Number of States
Low State and Local Contribution (10% to 40%)	14
Moderate State and Local Contribution (40% to 60%)	11
High State and Local Contribution (60% to 100%)	26

Source: State Profiles of the State Administered Adult Education Program for Year 1989
Note: Total number of states includes the District of Columbia.

C. Overview of Programs and Clients

Number of Programs and Clients

There were a total of 2,819 programs supported by the federal Adult Education Act during the year ending June 30, 1990. These programs report having served a total of 3.7 million clients during the 1989-90 program year. In October 1990, 1.67 million clients were enrolled.

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[2] Information from the Elementary and Secondary School Improvement Amendments of 1988, Title III–Adult Education Programs. The states' minimum acceptable match increased to 15 percent for fiscal year 1990, 20 percent for fiscal year 1991, and 25 percent for fiscal year 1992.

For purposes of this report, a program is defined as a local public or private agency or organization which received financial support from the Basic State Grants portion of the Adult Education Act. Programs are quite diverse in terms of sponsor (e.g. local education agency, community college, and private voluntary organizations) and size. Some of the large programs are divided into two or more regional or administrative units, and instructional services may be delivered in only one or in a great many different locations or instructional sites.

It should also be pointed out that definitions of clients vary from program to program. In some programs clients are not counted until they have received 12 hours of instruction; in others, clients are counted when they are assigned to a class; in still others, those in attendance on a given date are defined as clients regardless of hours attended. For purposes of this study, local definitions were used.

Exhibit 2.3 shows the distribution of programs and their client totals, by state. Pennsylvania had the largest number of programs (211, or 8 percent of the national total). However, the state ranked only twelfth among all states in terms of total clients served over the year.

California had 207 programs and served the largest numbers of clients (1.16 million, or 31.3 percent of the national total). Other states serving particularly large numbers of clients were Florida (11 percent), Texas (7 percent), New York (5 percent), Illinois (4 percent), and Michigan (4 percent).

Local programs served a median of 168 clients in October 1990. As shown in Exhibit 2.4, approximately 12 percent of programs served over 1,000 clients each, and 37 percent each served less than 100 clients at that time.

Exhibit 2.3

Federally assisted adult education programs and clients by state during the year ending June 30, 1990

State	Total # of Programs	Total Clients 89-90*	Clients October-90**
Alabama	72	38,781	18,934
Alaska	16	5,576	2,816
Arizona	27	34,525	11,053
Arkansas	47	21,895	9,371
California	207	1,157,899	367,078
Colorado	38	19,788	8,876
Connecticut	67	43,898	26,504
Delaware	10	3,008	2,375
D.C.	1	19,586	10,412
Florida	66	400,341	253,296
Georgia	49	85,016	31,660
Hawaii	9	34,743	19,730
Idaho	6	11,360	3,815
Illinois	83	164,148	63,206
Indiana	46	33,443	17,072
Iowa	15	36,250	18,432
Kansas	37	14,411	9,769
Kentucky	97	30,496	19,988
Louisiana	65	37,488	16,352
Maine	69	15,211	8,694
Maryland	23	42,103	16,845
Massachusetts	65	30,734	14,781
Michigan	131	141,469	120,812
Minnesota	49	51,785	33,480
Mississippi	69	17,113	10,077
Missouri	48	33,255	20,134
Montana	19	3,715	1,750
Nebraska	24	10,632	9,183
Nevada	9	13,129	8,643
New Hampshire	26	6,503	3,741
New Jersey	131	43,702	30,157
New Mexico	19	23,620	8,844
New York	148	179,603	81,099
North Carolina	55	107,484	51,873
North Dakota	23	3,496	1,357
Ohio	126	94,450	31,112
Oklahoma	40	20,258	904
Oregon	17	42,920	19,877
Pennsylvania	211	55,455	29,105
Rhode Island	24	9,031	4,252
South Carolina	54	58,078	26,719
South Dakota	31	4,388	2,201
Tennessee	99	40,914	19,543
Texas	60	247,372	104,880
Utah	37	28,159	9,816
Vermont	9	6,568	2,461
Virginia	118	62,344	31,932
Washington	35	31,987	14,088
West Virginia	59	21,545	8,599
Wisconsin	20	54,336	23,405
Wyoming	13	3,327	1,661
TOTAL	2,819	3,696,973	1,671,792

Source: Universe Survey; Items 18, 21

* Enrollments are based on the reported enrollments from 2,619 programs and numbers provided by the States for 142 programs.

** Enrollments are based on reports from 2,580 programs citing 1,528,553 mid-Oct. 1990 clients and imputations based on observed State averages for those programs reporting fully.

Exhibit 2.4
Percent of programs by number of clients served in local adult education programs

Number of Clients Served	Percentage of Programs
Over 5,000	1.6
1,000 - 5,000	10.0
500 - 999	11.2
100 - 499	40.4
Less than 100	36.8
TOTAL	100.0

Source: Universe Survey: Item 21

Most programs are administered by local education agencies (68 percent) and community colleges (17 percent). Other programs are part of volunteer organizations and community service groups (6 percent), technical institutes (6 percent), and regional educational service agencies or consortia of public school districts (2 percent). From the perspective of clients served, 63 percent of clients are served in programs administered by local school systems, and 28 percent in programs administered by community colleges.

The distribution of programs and clients served by degree of urbanicity is shown in Exhibit 2.5. Over half of the programs are located in rural areas, but these serve only about one-fifth of the client population. Most clients are served by programs located in urban areas.

Exhibit 2.5
Percent of adult education programs and clients by urbanicity

Urbanicity of Program	Percentage of Programs	Percentage of Clients
Entire metropolitan area	13.1	33.2
Center city of metro area	3.4	13.7
Other part of metro area	8.7	12.8
Non-metro, predominantly urban	20.3	18.6
Non-metro, predominantly rural	54.5	21.7
TOTAL	100.0	100.0

Source: Universe Survey: Items 3, 21

Service Locations

Adult education programs provide instructional and related services at 24,325 sites across the country. The percentage of programs which offer services at different numbers of sites is shown in Exhibit 2.6. The median program offered services at 3.4 sites. Sites vary widely in terms of type and size. They range from specifically designated adult learning centers with large numbers of clients[3] to work sites and churches which serve only handfuls of adults.

Exhibit 2.6
Number of sites per program

Number of Sites	Percentage of Programs
1	23.7
2-3	21.7
4-5	14.4
6-10	17.8
11-15	8.8
16-25	6.5
26-50	5.0
More than 51	2.1
TOTAL	100.0

Source: Universe Survey: Item 24

The amendments to the Adult Education Act of 1978 included provisions designed to encourage a diversity of service providers and service delivery sites. The assessment of the Act's state administered program in 1980 (Young, et.al.) included data on where programs sponsored by different types of grantees actually delivered their instructional services. The results of the 1980 data are presented in Exhibit 2.7 along with similar data from the universe survey conducted in 1990.

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[3] The largest service delivery site identified has an enrollment of 25,000 clients per year.

As shown in Exhibit 2.7, almost 70 percent of local programs offer services at public high schools and 40 percent offer services at adult learning centers. Approximately one-quarter of programs offer services at correctional facilities, workplaces, community colleges, and community centers. The data indicate there has been a decline in the percentage of programs using public high schools, vocational schools, libraries, and churches, and an increase in the percentage of programs offering services at workplace sites, adult learning centers, community colleges, and correctional facilities. The average program offered services at 2.7 different kinds of sites.

Exhibit 2.7
Percent of programs using specific types of locations by type of grantee

Service Delivery Site	1990			1980		
	Type of Grantee					
	Overall	LEA	Non-LEA *	Overall	LEA	Non-LEA *
Public Secondary School	58.9	69.5	54.5	71.1	72.7	64.2
Adult Learning Center	42.1	50.8	22.4	30.5	29.8	33.2
Correctional Facility	26.5	24.7	30.4	18.6	15.9	29.9
Workplace	24.8	17.7	41.0	13.1	11.6	19.2
Community College	24.3	11.4	53.6	15.8	6.7	54.4
Community Center	24.0	18.2	37.1	25.2	21.6	40.3
Private Residence	6.2	4.6	9.9	11.4	9.3	19.9
Vo-Tech School	6.8	5.0	10.9	22.6	22.1	24.9
Church	6.4	3.1	3.3	22.2	20.7	28.8
Library	1.2	0.0	3.7	10.4	9.3	15.1

Sources: Universe Survey: Item 25 (Young, M. et al 1980)

* Includes: community colleges, community based organizations, regional educational service agencies, and technical institutes.

Note: As an example of how to read this table, the first row may be read as follows: In 1990, 58.9 percent of all programs offered services in public secondary schools, while such schools were used by 71.1 percent of programs in 1980. There was a decrease in the use of secondary school sites both in programs sponsored by LEAs and by non-LEAs.

Instructional Service Components

Most federally supported adult education programs offer three basic types of instruction: adult basic education (ABE), adult secondary education (ASE), and English as a Second Language (ESL). The percentage of programs providing services in each component area and the percentage of clients being served (October 1990) in each area are shown on Exhibit 2.8. Although some programs (13 percent) offer services in only one of the three component areas (2 percent provide only ESL, 7 percent only ABE, and 4 percent only ASE), 60 percent provide at least some instruction in all three.

Exhibit 2.8
Percent of adult education programs and clients by instructional service component

Instructional Component	Percentage of Programs Providing Component	Percentage of Clients Receiving Services
ESL	68.9	35.2
ABE	92.3	35.0
ASE	85.0	29.8

Source: Universe Survey: Item 21

From a slightly different perspective, programs may be characterized by their predominant component. That is, programs may be defined as predominantly of one type if a plurality (but not necessarily a majority) of their clients are enrolled in that component. The distribution of programs by predominant instructional component is shown in Exhibit 2.9.

Exhibit 2.9
Percent of programs by predominant instructional component

Predominant Component	Percentage of Programs
ESL	20.7
ABE	47.7
ASE	31.6
TOTAL	100.0

Source: Universe Survey: Item 21

Characteristics of Clients

Based on information from the program profile, 57 percent of the enrollment in adult education programs is female, and 43 percent is male. The distribution of clients by age is shown in Exhibits 2.10 and 2.11. About 43 percent of the clients receiving adult education instruction are 16-24 years old and 38 percent are in the 25-44 years old group. ASE clients are younger than other adult education clients. Programs in metro areas have a smaller percentage of 16-24 year-old clients and larger percentages of 25-44 year-old clients than programs overall, while programs in non-metro urban areas have a larger percentage of clients who are 60 years and older.

Exhibit 2.10
Percent of clients by age group and instructional component

Age Group	Percentage of Clients			
	All Clients	ESL Clients	ABE Clients	ASE Clients
16-24 years	43.4	38.5	39.4	53.4
25-44 years	38.0	35.6	40.7	35.1
45-59 years	9.6	6.2	12.9	6.5
60 and older	9.0	19.7	7.0	5.0
TOTAL	100.0	100.0	100.0	100.0

Source: Comprehensive Program Profile: Item 7; Sample Type #3

Exhibit 2.11
Percent of clients by age group and urbanicity of program

Age Group	Percentage of Clients			
	All Programs	Metro Area	Non-Metro Urban	Non-Metro Rural
16-24 years	43.4	36.0	44.2	45.0
25-44 years	38.0	50.0	34.7	36.1
45-59 years	9.6	10.0	5.1	11.2
60 and other	9.0	4.0	16.0	7.7
TOTAL	100.0	100.0	100.0	100.0

Source: Comprehensive Program Profile: Item 7; Sample Type #3. Universe Survey: Item 5

The ethnic composition of adult education clients is shown in Exhibit 2.12. The clear majority of ABE and ASE clients are White, not of Hispanic origin. As expected, almost half of the ESL clients are Hispanic and another one-third are Asian/Pacific Islander. The highest concentration of Blacks is found in ABE programs. The distribution of clients by race/ethnicity and enrollment size of program is shown on Exhibit 2.13. Hispanics and Asian/Pacific Islanders are concentrated in the larger programs, which tend to be in urban locations and are heavily ESL. On the other hand, Whites are more likely to be found in medium-sized and small programs. The percentages of Black clients are fairly consistent across the different sized programs.

Exhibit 2.12
Percent of clients by race/ethnicity and instructional component

Race/Ethnic Group	All Clients	ESL Clients	ABE Clients	ASE Clients
White, not of Hispanic origin	61.6	12.0	63.0	73.9
Black, not of Hispanic origin	17.4	4.7	22.5	11.6
Hispanic	13.1	46.1	8.0	9.7
Asian/Pacific Islander	4.4	32.2	2.0	1.4
American Indian or Alaskan Native	3.5	5.0	4.5	3.4
TOTAL	100.0	100.0	100.0	100.0

Source: Comprehensive Program Profile: Item 7; Sample Type #3. Universe Survey: Item 21

Exhibit 2.13
Percent of clients by race/ethnicity and enrollment size of program

Race/Ethnic Group	Percentage of Clients					
	All Programs	Very Large Programs (over 5000 Clients)	Large Programs (1000-4999 Clients)	Medium Programs (500-999 Clients)	Small Programs (100-499 Clients)	Very Small Programs (Fewer than 100 clients)
White, not of Hispanic origin	61.6	30.4	38.2	61.3	60.2	67.8
Black, not of Hispanic origin	17.4	15.1	13.5	19.5	11.2	22.5
Hispanic	13.1	39.1	35.1	14.1	17.3	5.0
Asian/Pacific Islander	4.4	15.1	11.7	2.6	3.8	3.5
American Indian or Alaskan Native	3.5	0.3	1.5	2.5	7.5	1.1
TOTAL	100.0	100.0	100.0	100.0	100.0	100.0

Source: Universe Survey: Item 21. Comprehensive Program Profile: Item 7; Sample Type #3

Program Staff

As programs vary in the number of clients they serve, the numbers of full-time and part-time staff members quite naturally vary. Exhibits 2.14 and 2.15 show the mean numbers of staff members by type for all programs and for programs by size and predominant component. As can be seen from the mean numbers of staff in both Exhibit 2.14 and Exhibit 2.15, programs generally appear to rely heavily on part-time, rather than full-time, instructors and tutors, and on volunteers.

With respect to teaching certification, 18 percent of full-time staff are certified specifically in adult education and another 68 percent are certified in another area. Of the part-time staff, 8 percent are certified in adult education and 80 percent are certified in another area. Overall, 85 percent of adult education instructors have participated in pre-service or in-service training in the past year.

Exhibit 2.14
Mean number of staff members by type of staff and size of programs

Type of Staff	Mean Number of Staff Members Per Program					
	All Programs	Very Large Programs (Over 5000 clients)	Large Programs (1000-4999 clients)	Medium Sized Programs (500-999 clients)	Small Programs (100-499 clients)	Very Small Programs (Less than 100 clients)
Full-time administrators	1.8	14.1	4.8	2.0	1.1	0.7
Part-time administrators	1.6	12.0	2.6	1.7	1.2	1.1
Full-time instructors	4.9	47.9	15.5	4.5	2.3	1.2
Part-time instructors	22.2	295.7	63.3	28.2	12.6	6.1
Full-time tutors	1.8	20.8	4.6	2.1	1.0	0.5
Part-time tutors	9.5	135.1	24.5	9.0	5.7	2.6
Unpaid Volunteers	38.7	102.3	115.4	65.0	29.0	12.1

Source: Universe Survey: Items 21, 26

Note: As an example of how to read this table, the first row may be read as follows: The average (mean) number of full-time administrators per program is 1.8, with very large programs having an average of 14.1 and very small programs an average of 0.7.

Instructional staff are more likely to teach in more than one instructional component than to specialize. As shown in Exhibit 2.16, about 45 percent of both full-time and part-time instructors teach both ABE and ASE. Approximately one-third of full-time instructors teach only in one component area, while 46 percent of part-time instructors teach only in one component area.

Three-quarters of full-time instructors teach between 10-12 months per year, while only about 40 percent of part-time instructors teach over a similar time period (Exhibit 2.17). Finally, about half of the full-time teachers teach day classes only, while the other half teach day and night classes (Exhibit 2.18). On the other hand, nearly two-thirds of part-time instructors teach night classes only.

Exhibit 2.15
Mean number of staff members by type of staff and predominant program component

Type of Staff	Mean Number of Staff Members Per Program			
	All Programs	Predominant Component		
		ESL	ABE	ASE
Full-time administrators	1.8	2.8	1.6	1.6
Part-time administrators	1.6	2.7	1.3	1.3
Full-time instructors	4.9	7.4	4.5	3.9
Part-time instructors	22.2	43.6	16.4	17.5
Full-time tutors	1.8	2.8	1.6	1.6
Part-time tutors	9.5	10.3	12.3	5.2
Unpaid Volunteers	38.7	60.2	39.3	22.7

Source: Universe Survey: Items 21, 26

Exhibit 2.16
Percent of instructors by teaching specialization and type of instructional staff

Area of Instruction	Percentage of Full-time Instructors	Percentage of Part-time Instructors
ESL only	12.1	14.6
ABE only	13.2	15.8
ASE only	10.1	15.1
ABE and ASE	45.6	44.3
Other Combinations	19.0	10.2
TOTAL	100.0	100.0

Source: Comprehensive Program Profile: Item 14h; Sample Type #3

Exhibit 2.17
Percent of instructors by teaching commitments and type of instructional staff

Teaching Commitments	Percentage of Full-time Instructors	Percentage of Part-time Instructors
10-12 months	75.2	38.1
6-9 months	24.8	55.3
Less than 6 months	0.0	6.6
TOTAL	100.0	100.0

Source: Comprehensive Program Profile: Item 14h; Sample Type #3

Exhibit 2.18
Percent of instructors by teaching responsibilities and type of instructional staff

Instructor Teaches:	Percentage of Full-time Instructors	Percentage of Part-time Instructors
Day classes only	51.4	25.0
Night classes only	0.4	62.9
Day & Night classes	48.2	12.1
TOTAL	100.0	100.0

Source: Comprehensive Program Profile: Item 14c; Sample Type #3

D. Summary

The purpose of this chapter has been to review the program goals of the 1988 Adult Education Act; to describe the funding sources of adult education service providers at the federal, state, and local levels; and to present some of the general characteristics of programs, clients, and staff receiving funds under the Adult Education Act. The information presented in this chapter has been primarily descriptive. Program and client data were taken from the Universe Survey and the Program Profile, reflecting information on both a cross-section of service providers (2,619) as well as a subset of programs (131) currently participating in the study's longitudinal phase.

Descriptions of service providers have been provided by size, instructional component type, staff characteristics, urbanicity, and service location. Client populations were described by age, ethnicity, demographic characteristics, and instructional component type. The following exhibits present selected characteristics that highlight the high degree of diversity and variation found across program and client populations.

Exhibit 2.19
Selected characteristics of local service providers by predominant instructional component

Largest Component	(1) Number of Programs	(2) Median # of Clients	(3) Percent of Programs in Metro Area	(4) Average Class Size in Largest Component
ESL	483	386	43	20
ABE	1264	145	22	12
ASE	802	144	19	15

Source: Universe Survey: Item 21, Columns 1 and 2; Item 3, Column 3. Comprehensive Program Profile: Item 9, Column 4—Sample Type #4

Exhibit 2.20
Selected characteristics of local service providers by size of client enrollment as of October 1990

Program Size	(1) Number of Programs	(2) Predominant Component	(3) Percent of Programs in Metro Area	(4) Average Class Size Across Components
1-100	964	ABE	16	8
101-500	1057	ABE	22	14
501-1000	294	ABE	38	16
1001-5000	261	ESL	46	19
> 5000	43	ESL	79	20

Source: Universe Survey: Item 21, Columns 1 and 2; Item 3, Column 3. Comprehensive Program Profile: Item 9, Column 4—Sample Type #4

Given the degree of diversity found within and between program and client populations, overall generalizations about the programs may often have limited utility. However, some outstanding characteristics are noted below.

- The number of clients enrolled in ABE, ESL and ASE programs has nearly doubled within the last 10 years: 1980 total client population figures were estimated at 1.9 million, while 1990 estimates suggest a total of 3.7 million.
- Nearly 77 percent of all adult education programs serve less than 500 clients. Nearly half of these programs serve 100 clients or less.
- Almost 60 percent of all adult education clients are served by programs located in metropolitan areas. Another 19 percent of clients are served by programs located in non-metropolitan urban areas.
- Over forty-three percent of adult education clients are under the age of 25. Another 38 percent are between 25-44 years old.
- On average, the ratio of part-time to full-time instructors teaching in ESL, ABE and ASE programs is 4 to 1.

Chapter 3
PATTERNS AND PROFILES

As the preceding chapter shows, the adult education system is complex and highly diverse. Adult education programs vary widely in size and provide a variety of services in many different kinds of settings. Understanding a system such as this can be aided by identifying different types of programs and seeing how they and other interesting variables are related.

In reviewing literature, legislation, and public testimony on adult education over the past ten years, we identified four areas of particular interest to adult education policy makers and practitioners. The four areas are: professionalism of program staff; integration of program services; outreach to potential clients, especially those with the greatest needs; and retention of clients in instructional services. These are areas which are susceptible to program managers' control, and many believe that improvement in these areas would increase the effectiveness of local programs.

For many years there has been a call for greater professionalization of instructional and administrative staff (Foster, 1990; Lerche, 1985; Beder, 1991). The modal program is frequently characterized as consisting of only part-time, uncertified, and inadequately prepared staff, and the argument is made that until there is greater professionalization of both the administrative and instructional personnel, programs cannot be expected to achieve all that they should.

The need for greater integration of services is a second theme which runs through the literature and policy debates (Bliss, 1990; Beder, 1990). It is contended that to be effective local programs should, directly or through coordination with other agencies, provide a full range of instructional offerings as well as social and supportive services such as child care and counseling to their clients.

The literature also speaks to the need for improvements in program outreach activities (Pugsley, 1990; Beder, 1991). There is widespread agreement that many persons in need are not being served, particularly those with the greatest needs.

Finally, there is concern that more intensive and effective effort be devoted to client retention (Quigley, 1989; Garrison, 1985). It is generally perceived that there is a high rate of turnover of clients which must be inhibiting the achievement of instructional goals.

In light of the above, we constructed composite variables which allow us to characterize local programs in terms of the extent of their professionalism, their integration of services, and their efforts at client outreach and retention. The literature in the field did not reveal generally agreed upon measures of these four concepts, and we recognize that in describing the current state of adult education in these terms some potentially controversial operational assumptions had to be made. For this reason, we have gone to some length to provide the reader with the details of how we arrived at our operational measures.

A. Program Professionalism

Operational Definition: After examining various alternatives, the measure of professionalism selected consists of three parts: the provision of directed in-service training for staff, careerism in instructional staff, and the presence of full-time administrative and instructional staff. More specifically, the measure is defined as follows.

Provision of in-service training for staff: On the Comprehensive Program Profile (Item 17), program directors participating in the longitudinal phase of the evaluation were asked to indicate whether in-service training had been provided to their instructional staff during the past program year, and if so to indicate the type of training. Of the various responses provided, three were considered indicative of an effort to increase professionalism of instructional staff. The three are:

- assignment to work in the classroom of a more experienced teacher or staff member;
- coaching by supervisors or others; and
- participation in university courses related to ESL/ABE/ASE.

Programs were considered to be professional in terms of this component if they indicated any two of the three types of in-service were provided.

Of the 131 programs in the study sample, 59 percent were considered professional in terms of this measure. When data were weighted to be nationally representative, 32 percent of the universe of 2,819 local programs met this criterion, and these programs are estimated to serve approximately 70 percent of all clients served.

Careerism of instructional staff: To determine the level of careerism of instructional staff we adopted an approach that recognizes that professional development may legitimately occur through professional training or experience. Thus, to assign a score for careerism we examined two measures: (1) the preponderance of experienced instructional staff, and (2) the presence of staff certified in adult education.

Preponderance of experienced instructional staff: On the Program Profile (item 14d) we asked program directors for the number of their full-time and part-time instructors that had taught ESL, ABE, or ASE/GED classes for: less than 1 year, 1-3 years, and more than 3 years. Responses indicated that nationally 57 percent of instructional staff had been teaching for more than 3 years. Of the 131 programs in the study sample, 52 percent met or exceeded the national mean of 57 percent of instructors with more than three years of experience. We assigned a program a 1 if they met or exceeded the mean of 57 percent of instructors having more than 3 years of experience, and a 0 if they failed to meet this standard. When weighted to national estimates, 46 percent of all programs met this standard. Those programs meeting the standard serve almost half of all clients.

Presence of staff certified in adult education: Directors of the programs in the longitudinal sample were also asked to indicate the number of full-time and part-time instructors in their program who are "certified specifically in adult education" (Profile Item 14(f)). Programs were rated "professional" on this component if they reported at least one full- or part-time staff person who was certified in adult education. Although not all states have a formal certification process, because at least one program in 40 of the 41 states represented in the study (nearly 98 percent) reported at least one person certified in adult education, we concluded that it was appropriate to consider the presence or absence of certified staff as an indicator of staff professionalism. Forty-nine percent of the programs in our sample were considered professional in terms of certification. When weighted to be nationally representative, 31 percent of the universe met this standard, serving 51 percent of all clients.

In order to be considered professional in terms of careerism of instructional staff, a program must meet the standard of either staff experience or staff certification. If either criterion was met, the program received a "1"; if not, they received a "0". Of the 131 programs in the study sample, 74 percent were considered professional in terms of careerism of instructional staff. When data were weighted to be nationally representative, 61 percent of the universe of 2,819 local programs met the criterion as outlined above, and these programs are estimated to serve approximately 71 percent of all clients served.

Presence of full-time staff: Because most adult education clients receive instruction in the evening (54 percent) and only 2 to 4 days a week (72 percent), it may be appropriate that most instructional and administrative staff are employed part-time. However, in order to professionally plan and manage a program and adequately recruit and support instructional personnel, it is reasonable to argue that at least some members of a program's staff should be employed by the program full-time. From the Universe Survey (Item 26) we determined that 73 of the 131 programs in the study sample (roughly 56 percent) had at least one full-time administrator and one full-time instructor. Nationally, 860 of the 2,619[4] programs (about 31 percent) from which we received data on this question reported having at least one full-time administrator and one full-time instructor. These programs provide service to approximately 71 percent of the clients in the country.

Composite measure of professionalism: In order to provide a composite picture of professionalism, we combined the three components of professionalism just discussed

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[4] There were 2,619 respondents to the Universe Survey. We obtained data on an additional 200 programs from state directors to reach the more accurate estimate of 2,819 providers.

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(training, careerism, and full-time staff). If a program met the criteria for a particular feature, they received a "1", if not, a "0". By summing across the three components, we can determine the extent to which a program meets our criteria for professionalism. A program can have a score from a low of 0 to a high of 3. The table below summarizes the results.

Exhibit 3.1
Percent of programs and clients within each professionalism category

Professionalism Score (score in parens)	Percent of Sample Programs (Unweighted)	Percent of Programs (Weighted)	Percent of Clients Served (Weighted)
Low (0)	13.0	31.1	8.8
Moderately Low (1)	28.2	32.1	28.5
Moderately High (2)	22.9	19.4	20.0
High (3)	35.9	17.4	42.7

Source: Comprehensive Program Profile: Sample Type #4

As the table shows, about two-thirds of the clients are in programs which may be characterized as at least somewhat professionalized (i.e., having a composite score of 2 or 3), although approximately 63 percent of the programs would be considered not at all (31 percent) or only slightly (32 percent) professional in terms of this measure.

Correlates of professionalism: The clear difference between the number of programs which may be characterized as highly professional (17 percent) and the number of clients served by such programs (43 percent) suggests a strong relationship between the size of a program and the degree of professionalism. The extent of this relationship, and the relationship between professionalism and selected other variables related to (a) organizational characteristics, (b) instructional characteristics, and (c) program finance, are presented below.

Professionalism and Organizational Characteristics

Program size: The size of a program can be defined in terms of the number of clients served. Exhibit 3.2 shows the relationship between professionalism and this measure of size.

Exhibit 3.2
Percent of programs by level of professionalism and program size

Professionalism	Program Size				
	1-100	100-499	500-999	1000-4999	5000 +
Low (0)	45.3	24.7	24.4	2.0	0.0
Moderately Low (1)	32.4	32.9	28.3	34.8	14.1
Moderately High (2)	15.8	19.1	30.4	20.3	35.4
High (3)	6.5	23.3	16.9	43.0	50.4
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: Comprehensive Program Profile: Sample Type #4

As Exhibit 3.2 shows, there is a definite relationship between professionalism as we have defined it and program enrollments. The smallest programs are least likely to be able to meet the requirements for very professional programs, while very large programs, with very large staffs, are most likely to meet those standards. It would be reasonable to assume that programs serving relatively few clients might not employ full-time staff, and therefore, would automatically be rated low in terms of our professionalism measure. However, this does not seem to be the case. As was shown in Exhibit 2.14 (p.18), the average (mean) number of full-time administrators across all programs was 1.8 and full-time instructors was 4.9. The averages for the small programs (100-499 clients) were 1.1 and 2.3 respectively. Only the very smallest programs (less than 100 clients) averaged less than one full-time administrator, and even these very small programs had an average of 1.2 full-time instructors on their staff.

Program location: For the purpose of investigating the relationship between program urbanicity and professionalism, we have collapsed the five levels of urbanicity discussed in Chapter 2 into the three broader categories of: Metropolitan, Non-Metropolitan Urban, and Rural. In Exhibit 3.3 we present the distribution of program professionalism in terms of these urbanicity categories. The data show, for example, that roughly 43 percent of all rural programs are low on the professionalism measure. Also, rural programs and non-metropolitan urban programs have about the same percentage (33 percent and 32 percent, respectively) of programs in the upper two professionalism categories. Only metropolitan areas have a majority of programs in the upper two professionalism categories.

Exhibit 3.3
Percent of programs by level of professionalism and urbanicity category

Professionalism	Urbanicity		
	Metropolitan	Non-Metro Urban	Rural
Low (0)	3.5	21.8	43.5
Moderately Low (1)	40.0	46.6	23.8
Moderately High (2)	28.6	20.4	16.1
High (3)	27.9	11.2	16.7
TOTAL	100.0	100.0	100.0

Sources: Universe Survey: Item 3; Comprehensive Program Profile: Sample Type #4.
Note: The numbers in each cell refer to the percent of programs within an urbanicity category.

Program sponsorship: To demonstrate how the level of professionalism varies with the sponsoring agency of the program, Exhibit 3.4 divides the programs providing profile information into groups corresponding to their type of sponsor. Since college-based and public school-based programs make up nearly 85 percent of all programs and provide instruction to 90 percent of all clients, they are of particular interest. Although over 40 percent of public school sponsored programs fall into the lowest professionalism category, they provide instruction to only 6.1 percent of the clients. The 15 percent of public schools which rate as the highest in terms of professionalism provide instruction to 29.5 percent of all clients, the single largest clientele group. The large proportion of public schools that fall into the low category should not be overstated. When examining only those programs with 500 or more clients, 76 percent of public school sponsored programs are in the two top professionalism categories versus 41 percent of the college-based programs. Technical institutes have the highest proportion of programs at the moderately-high to high category within their group. Roughly 95 percent of programs sponsored by Technical institutes are in the highest two categories.

Exhibit 3.4
Percent of programs by level of professionalism and type of sponsoring agency

Professionalism	Sponsoring Agency				
	College Based	Public Schools	CBO	RESA	Technical Institutes
Low (0)	0.5	40.6	26.2	29.7	0.0
Moderately-Low (1)	32.7	33.5	31.5	54.8	4.8
Moderately-High (2)	33.2	10.8	34.6	3.8	74.3
High (3)	33.6	15.1	7.6	11.8	20.9
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: Sponsorship was determined for respondents to the Comprehensive Program Profile: Sample Type #4.

Notes: The numbers in each cell refer to the percent of programs within a particular sponsorship category. RESA is a Regional Education Service Agency. CBO is a Community Based Organization.

Professionalism and Instructional Characteristics

Predominant instructional component: As discussed in Chapter 2, we divided programs into three groups, depending on the proportion of their enrollments in the three basic instructional components. If, for example, a program had more ESL clients than ABE or ASE clients, it was assigned to the predominately ESL category. Exhibit 3.5 shows the distribution of the level of professionalism within each predominant component group. Generally, those programs which have ASE as their largest component have higher professionalism scores.

Exhibit 3.5
Percent of programs by level of professionalism and program component with largest enrollment

Professionalism	Component with Largest Enrollment		
	ESL	ABE	ASE
Low (0)	16.6	39.6	27.6
Moderately Low (1)	45.0	30.4	26.5
Moderately High (2)	14.7	20.1	21.3
High (3)	23.7	9.9	24.6
TOTAL	100.0	100.0	100.0

Source: Comprehensive Program Profile: Sample Type #4

Program emphases: The literature in adult education indicates that programs can be conceived as being located along several instructional dimensions. Some adult educators advocate highly individualized programs in which instruction is tailored to meet the particular needs of each entering client, while others argue that such an approach is not feasible and, because implementation of such an approach may be imperfectly done, is actually less than desirable (Fingeret, 1990; Sticht and McDonald, 1989). To see where programs viewed themselves along this dimension, directors responding to the Program Profile were asked to place their programs along a five point scale going from "highly individualized design" to "prestructured/fixed design." Exhibit 3.6 summarizes the responses to this question in terms of the extent of program professionalism, and overall.

Exhibit 3.6
Professionalism and the program design emphases in terms of individualized versus prestructured or fixed designs

Levels of Professionalism	Emphases of Program Design Continuum				
	Highly Individualized				Prestructured / Fixed
Low (0)	38.9	18.4	27.2	15.5	0.0
Moderately Low (1)	17.6	20.7	35.9	18.4	7.4
Moderately High (2)	59.5	15.9	10.8	1.4	12.3
High (3)	33.6	37.9	25.4	2.3	0.6
Overall	35.1	22.1	26.5	11.4	4.9

Source: Comprehensive Program Profile; Item 15: Sample Type #4
Note: Rows sum to 100 percent.

As is apparent, most programs tend to the "Highly Individualized Design" side of the continuum. In those programs which have the highest professionalism scores, over 70 percent of the program directors described their programs as falling on one of the two places closest to the "Highly Individualized Design" end of the continuum.

Exhibit 3.7 presents the responses of program directors to a question asking that they characterize their programs in terms of an "emphasis on academic skills" as opposed to an "emphasis on workplace or life skills." As the table shows, highly professional programs, and those which scored the lowest on our professionalism scale, tended to be slightly more inclined to a middle ground than the other two groups, with very few highly professional programs placing a heavy emphasis on academic skills.

Exhibit 3.7
Professionalism and the program design emphases in terms of academic versus workplace or life skills

Levels of Professionalism	Emphases of Program Design Continuum				
	Academic Skills				Workplace or Life Skills
Low (0)	10.8	20.8	49.7	16.6	2.2
Moderately Low (1)	0.0	74.3	24.4	1.3	0.0
Moderately High (2)	28.4	30.0	27.3	14.1	0.2
High (3)	13.5	48.5	33.1	2.4	2.2
Overall	11.3	44.4	34.4	8.8	1.1

Source: Comprehensive Program Profile; Item 15: Sample Type #4
Note: Rows sum to 100 percent.

Use of non-traditional instructional techniques: For several decades writers in the field of adult education have stressed the distinctions between appropriate techniques for teaching adults and traditional, or normative, practice in public elementary and secondary schools. Essentially, adults are viewed as voluntary learners whose individual desires and motivations should be explicitly considered, and who respond best to an active learning environment and from participating in the assessment of their own instructional progress. Consequently, the Program Profile (Item 19) included a set of what many adult educators would consider desirable, nontraditional instructional techniques. Respondents were asked to indicate the approximate percentage of their program's instructional staff who used each of these techniques. For each of 10 techniques, respondents were asked to indicate whether the percentage of teachers who used each technique in their program was "none," "few (less than 25 percent)," "some (25 percent-50 percent)," or "most (over 50 percent)." Responses to this question are presented in more detail in the context of Chapter 4 (see pages 69 to 71).

Exhibit 3.8 displays the percentage of programs within each professionalism score group that selected "none" or "most." One can sum these two extremes and determine the balance. For example, in the Low Professionalism column we can see that while about 38 percent of programs said "none" of their instructors used learning contracts, none of the programs said "most" of their instructors used learning contracts. Thus, we know that 62 percent of the programs said their faculties were more divided, with either "a few" or "some" using learning contracts as an instructional method. One particular method stands out because of the wide divergence of its use. While only 17 percent of the low professionalism programs reported that "most" of their instructors used "student/teacher prepared instructional materials" as an instructional method, nearly 60 percent of the highly professional programs reported "most" of their instructors used this method.

Client turnover: The length of time clients participate in adult education programs is not well established, and, indeed, is a major empirical question to be addressed in later stages of this study.[5] However, a preliminary measure of client turnover is available from the data provided on the Universe Survey. The Survey asked for the number of clients served during the program year ending June 30, 1990, and then for the number of clients "enrolled or being served as of now (mid-October 1990)." The ratio of the responses to these questions, the ratio of prior program year enrollments to mid-October enrollments, provides an indication of the time clients tend to be enrolled.[6] That is, if the same number of clients were enrolled in October as were enrolled for the entire year, then it could be presumed that there was no "client turnover," while if there were 1.7 million clients in October but 3.7 million for the full year, then one could assume that only about 47 percent of clients were enrolled at any given time and that there was a client turnover rate of about 2 per year.

Exhibit 3.9 (page 37) shows the mean client turnover rate for each level of program professionalism. As the data show, the more professional programs have slightly higher rates of client turnover. Explanations for this relationship include the possibility that clients in more professional programs accomplish theirs objectives more quickly than clients in less professional programs.

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[5] A major objective of the 30-month longitudinal phase of the National Evaluation of Adult Education Programs is to model client flows and, in so doing, answer questions concerning the length of time various types of clients participate in various types of instructional activities.

[6] There are other possible interpretations of this ratio, and preliminary investigations suggest that some portion of it is due to the manner in which clients are counted, since many programs do not distinguish between clients who are newly receiving services and those who are continuing from one course session to the next.

Exhibit 3.8

Professionalism and selected responses to percent of teachers using various instructional methods

Professionalism	What percentage of the teachers use the following?				
		Low (0)	Moderately Low (1)	Moderately High (2)	High (3)
Learning Contracts	None	38.0	55.3	51.3	63.8
	Most	*0.0*	*13.6*	*31.6*	*0.9*
Student Projects	None	41.5	28.7	32.6	26.9
	Most	*8.3*	*2.8*	*23.2*	*11.8*
Role play, simulations	None	18.2	10.1	36.5	21.7
	Most	*0.0*	*11.6*	*8.4*	*13.2*
Student participation in planning own program	None	9.5	9.5	1.5	13.5
	Most	*31.3*	*30.7*	*69.9*	*11.4*
Discussion group problem solving	None	6.0	0.0	16.6	13.5
	Most	*2.2*	*30.1*	*26.3*	*39.5*
Student participation in evaluation	None	9.3	0.0	3.9	0.0
	Most	*18.7*	*51.0*	*78.6*	*32.2*
Student journals	None	45.3	47.1	62.3	29.6
	Most	*7.6*	*13.5*	*4.9*	*0.4*
Existing students used in new student orientation	None	20.4	36.9	54.7	14.9
	Most	*2.2*	*14.2*	*9.3*	*10.4*
Student/teacher prepared instructional materials	None	36.2	18.0	22.3	2.6
	Most	*17.3*	*12.7*	*39.2*	*59.7*
Modes of assessment of learning gains other than tests (e.g. portfolios)	None	29.0	18.3	22.3	7.2
	Most	*0.0*	*0.5*	*0.0*	*0.0*

Source: Comprehensive Program Profile; Item 19: Sample Type #4
Note: "Most" was defined as over 50 percent of a program's teachers.

Exhibit 3.9
Mean program turnover rate by level of program professionalism

Professionalism	Mean Turnover Rate
Low (0)	2.0
Moderately Low (1)	1.8
Moderately High (2)	2.7
High (3)	2.4

Source: Universe Survey: Items 18, 21;
Comprehensive Program Profile: Sample Type #4

Professionalism and Program Finance

Budget overhead: The available cost data are presented and discussed more fully in Chapter 4, here we briefly provide findings relative to program costs and the degree of program professionalism.

One may speculate that the only path to a highly professional program is through allocation of expenditures to non-instructional areas, but the initial data provide only limited support for this supposition. There is no real pattern to administrative expenditures relative to professionalism (see Exhibit 3.10). Expenditures for instruction do, however, tend to support a positive relationship between program professionalism and an emphasis on instruction. Programs in the upper half of the program professionalism scale allocate an average of about 3 percent more of their total expenditures to instruction than do those in the lower one-half. There may, however, be a number of explanations for this difference, and these will be explored in other components of the study. One may speculate, for example, that since there is a relationship between size and professionalism, these budgetary differences may be the result of economies of scale enjoyed by larger programs.

Exhibit 3.10
Percent of total budget by budget component and level of professionalism

Budget Component	Professionalism Level			
	Low (0)	Moderately Low (1)	Moderately High (2)	High (3)
Administrative	26	15	17	21
Instructional	53	61	61	58
All other components	21	24	22	21
TOTAL	100	100	100	100

Source: Comprehensive Program Profile: Item 23: Sample Type #4

Summary of program professionalism

Exhibit 3.11 provides a snapshot of typical programs within each professionalism category. Those programs which scored in the high category were larger, sponsored by college based institutions, and were more likely to be have more ASE clients.

Exhibit 3.11
Selected Characteristics of Professionalism

Level of Professionalism	Characteristics of Programs			
	Mean Enrollment	Sponsoring Agency w/ Largest Proportion of Programs in Category	Most Likely Predominant Component	Highly Individualized Program Design
Low (0)	158	Public Schools	ABE	38.9
Moderately Low (1)	497	RESA	ESL	17.6
Moderately High (2)	577	Technical Institutes	ASE	59.5
High (3)	1373	College Based	ASE	33.6
TOTAL	559	Public Schools	ABE	35.1

Source: Comprehensive Program Profile: Sample Type #4

B. Services Integration

Operational definition: The measure of services integration used in this study has two basic dimensions: coordination of the adult education program with other community programs, and the breadth of services the program offers its clients. The first has three elements, two taken from the Universe Survey and one from the Program Profile. The second has four elements, all selected from the Program Profile. The seven elements and the overall composite measure are as defined below.

Local support: The Universe Survey (Item 8) asked whether there are "groups in your community that regularly provide support to your organization?" Of the 131 programs which completed Program Profile questionnaires, 82 percent reported meeting this requirement of a highly integrated system of delivering services. When the responses to this question were weighted to be nationally representative, we found that there are such groups that regularly provide support to 84 percent of the adult education programs.

Depth of local support: From those programs which reported having some support from local groups, we sought an indication of the breadth and depth of support offered. Respondents were asked to indicate whether the groups providing support referred clients to them, helped to recruit volunteers, paid the program for providing special services, contributed funds to the program, provided facilities or equipment for program use, or provided some other type of support. Using the results of the Universe Survey (Item 9), we counted the number of types of support provided. The mean number of types of support was 2.2. To be considered relatively highly integrated, a program must have indicated it received at least 2 types of support from community groups. Overall, 73 percent of the 131 programs responding to the Program Profile met this criteria, as did 68 percent of the programs nationally (weighted from the Program Profile).

Local organization involvement: The Program Profile questionnaire (Item 13) requested programs to characterize their involvement with other types of organizations. Twelve categories of organizations (e.g., public schools, community colleges, religious groups, libraries, businesses or labor unions, and other state and local agencies) were identified. Respondents were asked to indicate whether each of these organizations were "not significantly involved," "involved in planning," or provided "staff, facilities, and other resources" to their program. Programs were assigned a score of 0, 1, or 2, depending on the nature of their involvement. Theoretically, the score of a program could range from 0 to 24. In practice, the range was from 1 to 19. For the purposes of developing the composite of services integration, if the total was 5 organizations or fewer, the program received a 0; if the total was between 6 and 10 received a 1; and if their total was more than 10, it received a 2. Using these criteria, 51 percent of our sample (63 percent weighted) programs received a 0; 24 percent received a 1 (26 percent weighted); and 24 percent (12 percent weighted) received a 2.

Services offered: The Program Profile (Item 10) included a list of 8 support services that a program might offer: child care, transportation, health services, counseling, job search assistance, translator services, financial assistance, and case management. Respondents were asked to what extent the needs of their clients in each of these areas were being met by services offered as part of their adult education program. A summary of the responses to this question is presented as Exhibit 3.12, below.

Exhibit 3.12
Extent to which services provided by programs meet client needs

Service	Percent of Programs Reporting Clients Needs Are Met			
	Not at All	Somewhat	Fully	Don't Know
Child Care	57.5	36.4	6.1	0.0
Transportation	48.3	44.8	6.9	0.0
Health Services	68.6	29.5	0.4	1.5
Counseling	9.1	48.8	42.1	0.0
Job Search Assistance	17.7	71.7	10.6	0.0
Translator Services	57.0	28.0	10.8	4.2
Financial Assistance	63.5	31.5	5.1	0.0
Case Management	57.8	29.4	1.3	11.6

Source: Comprehensive Program Profile; Item 10: Sample Type #4

One element of the composite measure of services integration relies on the responses to the first 7 of these 8 potential services. If the program responded that they did not know whether the program was meeting their clients' needs for a particular service, they received a score of -1 for that item. If they met the clients' needs by indicating either "somewhat" or "fully," they were assigned a score of 1. An indication that client needs were "not at all" being met received a 0. We then added the scores received for these seven items. Theoretically, scores could have ranged from -7 to +7. The actual range ran from 0 to 7, with 61 percent of programs receiving a total of 4 or less. For the purposes of the composite measure, programs which received a score of 4 or more were assigned a 1 (57 percent of our sample, 53 percent when weighted to be nationally representative) and those with 3 or less were assigned a 0 (43 percent of the sample programs, and 47 percent nationally).

Emphasis on case management: From the perspective of services integration, the part of Program Profile Item 10 pertaining to case management was considered especially important. If a program reported either that they had met none of their clients' needs with respect to case management, or if they did not know to what extent such needs were being met, they received a score of -2. If they met some of their client's needs, they received a 1, and if they met all of their client's needs, they received a score of 2. Of the sample programs, 58 percent of programs received the lowest score on this element; 37 percent received a score of 1; and 5 percent of programs received a score of 2. When weighted to be nationally representative, slightly over 69 percent received a -2, 29 percent received a score of 1, and about 2 percent received a score of 2.

Volunteer involvement in support services: Another measure of service integration is the amount of volunteer time used for Support Services as a proportion of all volunteer time. The Program Profile (Item 12) asked programs to indicate "how many hours of volunteer time were devoted to your program over the last program year" in five areas, including "support services." If a program reported less than 1 percent of their volunteer time used for support services, they were assigned a score of 0. If a program reported between 1 percent and 10 percent of their volunteer time used for support services, they were assigned a score of 1. If they used more than 10 percent of their volunteer time on support services, the program received a score of 2. Nearly 74 percent of the sample programs (73 percent nationally) received a score of 0, 12 percent received a score of 1 (10 percent nationally), and 15 percent (17 percent when weighted) received a score of 2.

Training emphasis on support services: The last element of the composite pertains to the content of in-service training provided to instructional staff. The Program Profile (Item 18) obtained an indication from each program of which out of 12 possible areas (including "other, specify...") had been "a major thrust of the adult education-related in-service training" provided to their instructors during the past year. Programs that reported their training included "assessing client's needs" and "counseling and otherwise dealing with clients' personal problems" were assigned a 1 for each component. Of the sample programs 44 percent received a score of 0, 47 percent a score of 1, and about 9 percent received a score of 2. Nationally, 47 percent of the programs emphasized neither of the elements, 44 percent identified one or the other, and 9 percent identified both.

Composite measure of integration of services: The services integration score was derived in the same manner as the professionalism score. The values attributed to each element as described above were summed. The higher the resulting score, the higher the degree of service integration. The integration scores ranged from -2 to 14. To simplify analysis, programs were grouped according to their scores. The results are presented in Exhibit 3.13.

Exhibit 3.13
Percent of programs and clients within each service integration category

Service Integration Level (Score)	Percent of Programs (Unweighted)	Percent of Programs (Weighted)	Percent of Clients Served (Weighted)
Low (-2 to 4)	35.1	48.1	28.6
Medium (5-8)	29.8	26.6	27.8
High (9 or higher)	35.1	25.3	43.6

Sources: Comprehensive Program Profile: Sample Type #4; Universe Survey

As the data show, over 40 percent of all clients are enrolled in programs which fall into the high service integration category. However, nearly 30 percent of all clients are enrolled in the 48 percent of the programs in the lowest service integration category.

Service Integration and Organizational Characteristics

Program size: One would expect the breadth of services offered to be related to the number of clients. The greater the number of clients, the greater the needs of the population. Exhibit 3.14 presents the data on the percentage of programs within each size category and the service integration score for each. While the data generally support this proposition, the high proportion of the very smallest programs in the moderately high or high category for service integration may be explained by the need for these programs to coordinate with others, seek support from local groups, and rely on volunteers to provide those services.

Exhibit 3.14
Percent of programs by level of service integration and client enrollment in October 1990

Service Integration	Number of Clients in October 1990				
	1-100	100-499	500-999	1000-4999	5000 +
Low (-2 to 4)	45.3	63.0	36.6	26.4	16.4
Medium (5-8)	32.4	9.0	45.2	37.3	38.9
High (9 or higher)	22.3	28.0	18.2	36.3	44.6
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: Comprehensive Program Profile: Sample Type #4;

Note: The numbers in the cell refer to the percent of programs within a particular size category.

Program location: Exhibit 3.15 displays the extent to which service integration varies with the urbanicity of a program. The single most remarkable result is that the overwhelming majority of non-metro urban programs rate "low" in the area of service integration. A possible explanation may be that these programs may be geographically more isolated, and relatively self-reliant. The large percentage of rural programs that do well on this indicator is likely due to the number of rural programs in our sample that are members of Regional Education Service Agencies (RESAs) or Education Service Centers. As we will see in the next exhibit, RESAs do very well in the area of service integration.

Exhibit 3.15
Percent of programs by level of service integration and urbanicity category

Service Integration	Urbanicity		
	Metropolitan	Non-Metro Urban	Rural
Low (-2 to 4)	28.9	61.4	48.6
Medium (5-8)	31.4	27.5	23.8
High (9 or higher)	39.7	11.0	26.6
TOTAL	100.0	100.0	100.0

Sources: Comprehensive Program Profile: Sample Type #4
Note: The numbers in the cells refer to the percent of programs within a particular urbanicity category.

Program sponsorship: Exhibit 3.16 shows the relationship between the sponsoring agency and the level of service integration. Only college based and RESAs have at least one-half of their programs in the high category. The large percentage of RESAs that scored in the high category may reflect their cooperative structure.

Exhibit 3.16
Percent of programs by level of service integration and sponsoring agency

Service Integration	Sponsoring Agency				
	College Based	Public Schools	CBO	RESA	Technical Institutes
Low (-2 to 4)	34.8	56.0	0.0	34.0	67.0
Medium (5-8)	15.1	26.2	65.3	7.2	4.8
High (9 or higher)	50.1	17.8	34.7	58.8	28.2
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: Comprehensive Program Profile: Sample Type #4
Note: "Programs" refers to the percent of programs within a particular sponsorship category.

Predominant instructional component: As Exhibit 3.17 shows, of those programs which have a plurality of ESL clients, roughly two-thirds are in the lowest category of service integration. Only those programs which have a plurality of ABE clients have at least 50 percent of their programs in the medium or high categories.

Exhibit 3.17
Percent of programs by level of service integration and component with largest enrollment

Service Integration	Component with Largest Enrollment		
	ESL	ABE	ASE
Low (-2 to 4)	66.4	37.8	55.7
Medium (5-8)	18.4	30.9	23.8
High (9 or higher)	15.2	31.3	20.5
TOTAL	100.0	100.0	100.0

Source: Comprehensive Program Profile; Item 3: Sample Type #4

Summary of services integration

Exhibit 3.18 provides an overview of selected characteristics of those programs in each service integration category. Programs which scored highest on services integration were those which tended to be very large, located in metropolitan areas, sponsored by RESAs and community colleges, and whose predominant instructional component was ABE. Programs which scored lowest tended to be small, located in non-metropolitan urban areas, sponsored by technical institutes, and whose predominant component was ESL.

Exhibit 3.18
Selected Characteristics of Service Integration

Level of Service Integration	Characteristics of Service Integration			
	Mean Enrollment	Sponsoring Agency w/Largest Proportion of Programs in Category	Percent of Programs in Metropolitan Region	Most Likely Predominant Component
Low (-2 to 4)	332	Technical Institutes	28.9	ESL
Medium (5-8)	585	CBO	31.4	ABE
High (9 or higher)	963	RESAs	39.7	ABE
TOTAL	559	Public Schools	18.1	ABE

Source: Comprehensive Program Profile: Sample Type #4

C. Program Outreach Efforts

Operational definition: The measure of the extent to which programs emphasize program outreach activities has five component parts, each based on an item from the Program Profile Questionnaire. These components are as follows.

Recruiting methods: The Program Profile (Item 11) asks respondents to indicate the extent to which they rely on a list of ten (including "other, specify ..") ways "to recruit potential adult education clients." Their choices were: "not at all"; "very little," defined as accounting for less than 10 percent of their recruiting effort; "some," defined as accounting for 10 to 50 percent of their recruiting effort; and "a great deal," defined as accounting for over 50 percent of their effort. A summary of the responses to this question is presented as Exhibit 3.19.

Exhibit 3.19
Percent of programs using various techniques to recruit clients

Recruitment Techniques	A Great Deal (> 50)	Some (10-50)	Very Little (< 10)	Not at All	Total
Announcements in mass media	0.0	53.6	16.7	29.6	100
Referrals from other agencies	0.0	44.0	18.6	37.4	100
Fliers, posters, mailings	0.0	42.4	15.7	41.9	100
Staff member assigned to recruitment	16.7	26.1	13.7	43.5	100
Recommendations by current clients	0.0	41.1	25.2	33.8	100
Contacts with supervisors or counseling	0.0	34.0	42.9	23.1	100
Recruitment by co-sponsoring groups	0.0	26.0	41.1	31.9	100
Organized recruitment by current clients	0.0	24.4	28.2	47.4	100
Local residents used as recruitment aides	0.0	22.8	33.3	43.8	100

Source: Comprehensive Program Profile; Item 11: Sample Type #4

For the purposes of the composite measure, programs that reported using a method "some" received a score of 1 for each of nine of the ten possible techniques. For each of the nine techniques reported as being used "a great deal," programs received a score of 2. The tenth technique (the sixth listed in Exhibit 3.19) was treated separately, as discussed below. The total scores were then collapsed into three groups. Of the sample programs 31 percent received a score of 0, 40 percent received a score of 1, and 29 percent were assigned a score of 2. Nationally, 27 percent of programs received a score of 2, 44 percent received a score of 1, and 29 percent received a score of 0 on this indicator of program outreach.

Use of staff for recruitment: Because the technique of specifically assigning one or more staff members to recruitment is believed to be particularly important, we included this item as a separate component. Applying the same rules as above, we found that, nationally, 43 percent of the programs use staff members for recruitment either "some" or "a great deal," 36 percent for our sample. Fifty-seven percent nationally, and sixty-four percent of the sample reported using staff for this purpose either "very little," or "not at all."

Use of volunteers for recruitment: Another indicator of a program's emphasis on outreach activities is the extent to which volunteers are used in recruitment, to the exclusion of other volunteer activities. To determine this, we calculated the percentage of total volunteer time (Item 12) that is devoted to recruitment (Item 12e). We then assigned values of 0, 1, or 2 corresponding to whether a program is in the lower, middle, or upper one-third of all sample programs relative to the use of volunteers. Nationally, we found that nearly 76 percent of programs do not use volunteers at all (31 percent of the sample programs). Approximately 10 percent of programs when weighted (37 percent of the sample) used more than 10 percent of volunteer time for recruiting. The middle 14 percent of the national estimate (31 percent of the sample of 131) used less than 10 percent of their volunteers' time for recruitment.

Recruiting support from other organizations: Other community organizations can be an important source of program clients and can provide access to particularly underserved or hard to reach groups. The Program Profile (Item 13) asked for information about how adult education programs were involved with various other organizations. We specifically asked whether these groups were involved in recruiting clients or providing referrals. For the purposes of developing an indicator of outreach activity, we counted the number of times programs reported receiving aid in either recruiting/referrals from the following types of organizations (Items 13d-13i, and 13l); state and local employment and training agencies; literacy councils/organizations; religious groups; businesses or labor unions; representatives of special adult populations; other fraternal, voluntary, or community organizations; and other state and local agencies. We then divided the programs into thirds based on the number of these organizations cited. We found those involved with two or less to be in the lower one-third; those involved with between three and five organizations to be in the middle one-third; and those with more than five to be in the upper one-third. We then assigned programs in these groups values of 0, 1, or 2, respectively.

Training for recruitment: The Program Profile (Item 18) asked programs to tell us which of twelve areas of in-service training (including "other, specify ...") were a major thrust of their previous year's training efforts. If the program selected "Recruiting Clients" (Item 18e), they received a 2, otherwise they received a 0. Fully 82 percent of the sample and the weighted sample received a 0 for this item. The remaining 18 percent received a 2.

Composite measure of outreach effort: By summing the values assigned to each of the five elements, we created an outreach effort score. The scores could range from 0 to 10. There were programs with scores at both extremes, but as shown in Exhibit 3.20, most programs scored in the middle.

Exhibit 3.20
Percent of programs and clients within each outreach effort category

Outreach Effort (Score)	Percent of Programs (Unweighted)	Percent of Programs (Weighted)	Percent of Clients Served (Weighted)
Low (0-1)	19.1	24.6	15.7
Medium (2-4)	58.0	49.4	49.2
High (5 or higher)	22.9	26.1	35.1

Source: Comprehensive Program Profile: Sample Type #4

Program outreach and Institutional Characteristics

Program size: In Exhibit 3.21 we can see that those programs which are in the highest category of the outreach composite are those in the mid-sized range, that is, those with 500 to 999 clients. That at all enrollment levels, over 70 percent of programs are either in the medium or high category for outreach suggests that program size is not strongly related to the amount of effort a program devotes to outreach activities.

Exhibit 3.21
Percent of programs by enrollment size in October 1990 and level of outreach effort

Enrollment in October 1990	Outreach Effort			TOTAL
	Low (0,1)	Medium (2-4)	High (5 or higher)	
Less than 100	25.8	54.9	19.3	100.0
100-499	29.2	44.3	26.4	99.9
500-999	11.4	30.7	57.9	100.0
1000-4999	18.2	67.1	14.7	100.0
5000 or more	7.3	61.8	30.9	100.0

Sources: Comprehensive Program Profile: Sample Type #4

Program location: One might expect the amount of effort devoted to outreach activities to be related to the demographic characteristics of a program's service area. As shown in Exhibit 3.22, non-metropolitan urban programs are least likely to be in the highest category, with rural programs having the highest percentage of programs in the higher two categories. There does not, however, appear to be a strong relationship between urbanicity and the level of outreach effort.

Exhibit 3.22
Percent of programs by urbanicity category and level of outreach effort

Urbanicity	Outreach Effort		
	Low (0,1)	Medium (2-4)	High (5 or higher)
Metropolitan	31.2	42.6	26.2
Non-metro Urban	34.9	56.5	8.7
Rural	17.2	48.3	34.5

Sources: Comprehensive Program Profile: Sample Type #4

Program sponsorship: Only those programs sponsored by CBOs or public schools had a significant proportion of their number score low in terms of outreach effort. This is somewhat surprising with respect to community based organizations (CBOs), but may be due to established linkages with segments of the community in need of services which make special outreach efforts unnecessary.

Exhibit 3.23
Percent of programs by client sponsorship and level of outreach effort

Sponsorship	Outreach Effort			TOTAL
	Low (0,1)	Medium (2-4)	High (5 or higher)	
College Based	8.7	63.5	27.8	100.0
Public Schools	28.4	42.6	29.0	100.0
CBO	38.0	39.5	22.5	100.0
RESA	0.0	92.8	7.2	100.0
Technical institutes	0.0	93.0	7.0	100.0

Sources: Compiled by authors; Comprehensive Program Profile: Sample Type #4

Summary of outreach effort

Exhibit 3.24 summarizes some characteristics of those programs in each of the outreach effort categories. Programs which scored highest on outreach efforts tended to be those which were middle-sized, located in rural areas, and sponsored by public schools. Programs which scored lowest were those which were small, located in non-metropolitan urban areas, and sponsored by community based organizations.

Exhibit 3.24
Selected characteristics of outreach efforts

Levels of Outreach	Characteristics of Outreach Efforts		
	Mean Enrollment	Sponsoring Agency w/Largest Proportion of Programs in Category	Most Likely Predominant Component
Low (0)	358	CBO	ABE
Medium (1)	557	RESA	ASE
High (2)	753	Public Schools	ASE
TOTAL	559	Public Schools	ABE

Source: Comprehensive Program Profile: Sample Type #4

D. Client Retention Efforts

Operational definition: The measure of the extent to which programs emphasize activities designed to retain their clients, that is to minimize clients' early termination from their instructional program, is based on two Items from the Program Profile Questionnaire. These are as follows:

Support services provided: The Program Profile (Item 10) asks respondents to indicate the extent to which the needs of their clients in eight selected areas were being met by services offered as part of their adult education program. Exhibit 3.12, on page 40, listed the eight services and summarized the results obtained. In developing a measure of client retention efforts, we counted the number of services in which client needs were being met "somewhat" or "fully." This resulted in assigning each program a score ranging from 0 to 8. Based on the distribution of these scores, we assigned programs having a score of greater than three a score of 1 and those having less a score of 0. Our sample showed that 57 percent of programs (56 percent nationally) rated highly (i.e., a score of 1) on this measure of program retention.

In-service training on retention: The Program Profile (Item 18) asked which of twelve areas of in-service training (including "other, specify ...") were a major thrust of the previous year's training efforts. Six of these areas are topics related to the retention of clients (e.g., "counseling and otherwise dealing with clients' personal problems," and "preventing client drop outs"). For the purposes of this indicator of client retention efforts, programs which indicated their in-service training focused on more than one of the six areas received a score of 1, and the others received a score of 0. Our sample had 58.8 percent receiving a score of 1 on this measure. Nationally, 32 percent of programs were rated highly in terms of this measure.

Composite measure of retention effort: By summing the values assigned to the two elements, we created a retention effort score. The scores could range from 0 to 2. As shown in Exhibit 3.25, there were programs with scores at both extremes, but the majority of all programs scored in the middle.

Exhibit 3.25
Percent of programs and clients within each program retention effort category

Retention Effort	Percent of Programs (Unweighted)	Percent of Programs (Weighted)	Percent of Clients Served (Weighted)
Low (0)	22.1	30.2	20.9
Medium (1)	35.9	51.5	25.4
High (2)	42.0	18.3	53.7

Source: Comprehensive Program Profile: Sample Type #4

Program Retention Effort and Organizational Characteristics

Program size: Exhibit 3.26 displays the results of the cross-classification of program retention effort and program size. Of interest is the nearly linear relationship between program size and retention effort for those programs that scored in the highest category in terms of retention effort (the "High" column). There is also a nearly inverse linear relationship in the medium retention effort column. This relationship is probably a result of the number of support services offered. Those programs with the larger enrollments are more likely to offer a wide range of services, thereby scoring higher on that component of the retention composite. This may also be a function of the very largest programs being able to provide the resources and staff that are afforded by economies of scale that allow for the meeting of a wider range of clientele needs.

Exhibit 3.26
Percent of programs by enrollment size in October 1990 and level of retention effort

October Enrollment	Retention Effort			TOTAL
	Low (0)	Medium (1)	High (2)	
Less than 100	32.4	61.1	6.5	100.0
100-499	29.3	55.5	15.2	100.0
500-999	37.3	26.0	36.7	100.0
1000-4999	14.3	31.3	54.4	100.0
5000 or more	29.5	8.7	61.8	100.0

Sources: Comprehensive Program Profile: Sample Type #4

Program location: The urbanicity of a program appears to have less of an impact on its retention effort than does its size. Exhibit 3.27 indicates that while the less urban a program, the less likely it is to reach the highest level of retention effort, well over half of the programs in each urbanicity category are either in the medium or high category of retention effort.

Exhibit 3.27
Percent of programs by urbanicity category and level of retention effort

Urbanicity	Retention Effort			TOTAL
	Low (0)	Medium (1)	High (2)	
Metropolitan	11.8	58.0	30.2	100.0
Non-metro Urban	44.6	34.2	21.2	100.0
Rural	30.0	56.5	13.5	100.0

Sources: Comprehensive Program Profile: Sample Type #4

Program sponsorship: RESAs and College based programs have a far larger proportion of their number in the high retention effort category than any other sponsoring agency. The cooperative or consortium nature of RESAs make it reasonable to assume that they are likely to have a wide range of services, due to the large number of separate institutions that are members of the RESA.

Exhibit 3.28
Percent of programs by sponsoring agency and level of retention effort

Sponsorship	Retention Effort			TOTAL
	Low (0)	Medium (1)	High (2)	
College Based	22.6	29.9	47.5	100.0
CBO	20.2	72.1	7.7	100.0
Public Schools	35.5	50.6	13.9	100.0
RESA	3.8	37.4	58.8	100.0
Technical Institutes	4.8	95.2	0.0	100.0

Sources: Comprehensive Program Profile: Sample Type #4

Predominant instructional component: One might speculate that the composition of the program in terms of their enrollments in ESL, ABE, or ASE may have an effect on their retention efforts. While this may be true at the individual program level, Exhibit 3.29 shows that nationally, the retention efforts of programs do not appear to vary substantially with the predominant instructional component.

Exhibit 3.29
Percent of programs by level of retention effort and component with largest enrollment

Retention Effort	Component with Largest Enrollment		
	ESL	ABE	ASE
Low	31.7	32.9	25.2
Medium	49.4	50.5	54.3
High	18.9	16.6	20.5
TOTAL	100.0	100.0	100.0

Source: Comprehensive Program Profile; Items 3,7: Sample Type #4

Summary of Retention Efforts

Exhibit 3.30 provides a brief overview of the characteristics of those programs in each category of retention effort. Programs which scored highest on client retention were those which tended to be very large, offer instruction to more ABE clients, and sponsored by RESAs or Community Colleges. Programs which scored lowest tended to be medium-sized, offer services to more ESL clients and sponsored by public schools.

Exhibit 3.30
Selected characteristics of program retention

Levels of Program Retention	Characteristics of Retention			
	Mean Enrollment	Sponsoring Agency w/Largest Proportion of Programs in Category	Most Likely Predominant Component	Mean Number of Services Provided
Low (0)	387	Public Schools	ESL	1.9
Medium (1)	276	Technical Institutes	ASE	4.4
High (2)	1636	RESA and Community College	ABE	6.4
TOTAL	559	Public Schools	ABE	5.4

Source: Comprehensive Program Profile: Sample Type #4

E. Relationships between composite variables

In this section we briefly summarize the unweighted cross-tabulation of selected composite variables. To make all composites comparable, we modified the professionalism measure by combining the bottom two categories of professionalism into a single group. The reader should keep in mind this change also has the effect of increasing the likelihood that a program will fall into the "low" category. We then examined the cross-classification of each pair of the four composite variables we presented in this chapter [7].

We found that only the cross-tabulations of (1) professionalism and retention effort and (2) service integration and retention effort met the Chi-Square requirements that indicated a likely relationship at the .05 level or better. All other relationships were significant at no better than the .1 level. This indicates that for our sample, there is little likelihood that the composites are related in any meaningful way. That several composites were unrelated is suggestive that they measure different processes. The independence of measures is an important feature for their use in the future analyses of client data. We will present only those cross-classifications which were statistically significant. The reader should remember that since these are Type 1 data making generalizations from this sample may be inappropriate.

Program professionalism and retention effort: Exhibit 3.31 presents the cross-tabulation of these two composite measures. The cross-tabulation shows a strong relationship between the two composites. Those programs which are high on the professionalism composite are never found in the low retention effort category, and 32 of the 47 programs (68 percent) that are in the high professionalism group are also in the high retention effort category. On the other hand, 12 of the 54 programs (22 percent) which fell into the lowest categories of professionalism scored in the highest retention effort category. The relationship, however, is not as strongly reciprocal; that is, those programs which scored low on the professionalism measure may score highly on retention effort. Thus, programs which are highly professional are also exerting at least a moderate degree of effort in their client retention activities, but those which scored high on retention effort may be lacking in those areas which

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[7] To test whether the relationships between the variables were statistically significant, we used the standard measures of the X^2 (Chi-Square) and the P, as well as the X^2 and approximate $\bar{p}$ (P adjusted to reflect the effective n). As we discussed earlier (see Chapter 1), the sample of programs was not drawn to provide a random sample of programs. To provide the reader with an approximation of how our results would have fared had the sample been randomly selected, we have estimated the effective n. To estimate the effective *n*:

$$\frac{\sum (w_i^2)}{(\sum w_i)}$$

where w_i is the weight for the i^{th} program.

The results from our sample indicates that our sample of 131 programs has approximately the same sample characteristics of a random sample of 50 programs. The observed cell frequencies are reduced by 50/131 to yield the effective *n* for the calculation of the $\hat{x}^2$. The $\bar{p}$ is the P based on the effective *n*.

define a highly professional program. The conclusion is that some low-scoring programs may be trying hard to retain their clients.

Exhibit 3.31
Distribution of sample programs by professionalism levels and retention effort scores

Professionalism	Retention Effort Low (0)	Retention Effort Medium (1)	Retention Effort High (2)	Total
Low (0,1)	18	24	12	54
Medium (2)	11	8	11	30
High (3)	0	15	32	47
Total	29	47	55	131

$X^2 = 31.1$ $P = .0001$ $\hat{x}^2 = 11.9$ $\bar{p} = .01$

Note: Data are: Sample Type #1

Service integration and retention effort: The relationship between the programs in terms of service integration and retention efforts proved to be highly significant for our sample programs. Exhibit 3.32 presents the cross-tabulation of those two composite measures. Thirty-seven of the 46 programs that scored in the high category for service integration, fully 80 percent, also scored in the highest group. Only 1 program that scored high on retention effort scored in the low category for service integration. Likewise, of the 29 programs that scored in the lowest retention effort category, 20 (69 percent) also scored in the lowest service integration group. The clear indication is that programs doing well on service integration are also generally devoting substantial effort to client retention.

Exhibit 3.32
Distribution of sample programs by service integration score and outreach effort score

Service Integration	Retention Effort			Total
	Low (0)	Medium (1)	High (2)	
Low (-2-4)	20	25	1	46
Medium (5-8)	9	13	17	39
High (9 +)	0	9	37	46
Total	29	47	55	131

$X^2 = 61.1$ $P = .000$ $\hat{x}^2 = 23.3$ $\bar{p} = .001$

Note: Data are: Sample Type #1

In this chapter we have presented some of the characteristics of adult education providers based on the similarities of what they do, rather than simply where they are. We have offered a method for evaluating programs in terms of their professionalism, service integration efforts, outreach efforts, and emphasis on client retention. The types of program groupings we have presented in this chapter present, we believe, a legitimate and useful way of introducing some logical order to the analysis of a very complex set of programs.

Chapter 4
PROGRAM SERVICES

The purpose of this chapter is to describe adult education programs in terms of a number of key study variables. The chapter is organized into four major sections, as follows:

- Outreach and Intake Process;
- Instructional Program;
- Staffing and Personnel; and
- Funding and Expenditure Patterns.

In the first section, Outreach and Intake Process, we discuss recruitment, scheduling of classes, placement and testing, coordination and involvement with other agencies, and program demand and capacity.

In the section on Instructional Program, we discuss instructional philosophy, learning environments, and the non-instructional support services provided by programs.

Under Staffing and Personnel, we discuss the experience and training of instructors, in-service training, and program volunteers.

Finally, under Funding and Expenditure Patterns, we present data on total costs in relation to enrollment size, and allocation of resources among budget categories.

Most of the data presented in this chapter were derived from the Program Profile and weighted to national estimates. Other data were obtained from the Universe Survey.

A. Outreach and Intake Process

Recruitment of Clients

Exhibit 4.1 shows the percentages of programs which utilize various recruitment techniques. Slightly over half of programs use announcements in the media at least some of the time, while approximately 4 of 10 programs utilize each of the following methods at least some of the time: referrals from other agencies; flyers, posters, and mailings; an assigned staff member; and recommendations by current clients.

Exhibit 4.1
Percent of programs using various recruitment techniques

Recruiting Technique	Percentage of Programs				
	A Great Deal (> 50)	Some (10-50)	Very Little (< 10)	Not at All	Total
Announcements in mass media	0.0	53.6	16.7	29.6	100
Referrals from other agencies	0.0	44.0	18.6	37.4	100
Fliers, posters, mailings	0.0	42.4	15.7	41.9	100
Staff member assigned to recruitment	16.7	26.1	13.7	43.5	100
Recommendations by current clients	0.0	41.1	25.2	33.8	100
Contacts with supervisors or counseling	0.0	34.0	42.9	23.1	100
Recruitment by co-sponsoring groups	0.0	26.0	41.1	31.9	100
Organized recruitment by current clients	0.0	24.4	28.2	47.4	100
Local residents used as recruitment aides	0.0	22.8	33.3	43.8	100
Other*	0.0	9.5	0.9	89.7	100

Source: Comprehensive Program Profile; Item 11: Sample Type #4

*Respondents were provided the opportunity to specify 2 "other" ways they use to recruit potential adult education clients.

All programs use at least 2 techniques to attract clients, and several programs use many more. As shown in Exhibit 4.2, almost two-thirds of programs utilize 6 or more recruiting methods at least some of the time.

Programs were asked to indicate where individuals go to apply for or register for services. Sixty-three percent of programs said new clients can go to any service site operated by the program to register; 32 percent of programs indicated that new clients would have to go to the one facility operated by the program; while 9 percent said they had a special registration site to handle new applicants. Small percentages of programs indicated that registration can be done by mail or telephone, at the program's central office, and at the clients' places of employment.

Exhibit 4.2
Percent of programs using multiple recruiting techniques

Number of Recruiting Techniques Used at Least Some of the Time	Percentage of Programs
11	0.9
10	10.6
9	10.2
8	4.7
7	14.5
6	21.7
5	17.1
4	10.1
3	9.5
2	0.6
TOTAL	100.0

Source: Comprehensive Program Profile; Item 11: Sample Type #4

Schedule of Instruction

Services for new clients begin at any time during the year in 63 percent of programs; at any time except summer in 26 percent of programs; at regularly scheduled times in 8 percent of programs; and at other unspecified times in 3 percent of programs.

Exhibit 4.3 shows the number of months that ESL, ABE, and ASE classes are held. On the average, classes are held for a little over 10 months per year, with ESL classes being held over a slightly longer period than the others. For all three components, the most frequent (modal) number of months classes are held is 12, with the next most frequent number of months being 9.

Exhibit 4.3
Percent of programs by number of months that services are provided and instructional component

Classes Held	Percentage of Programs		
	ESL	ABE	ASE
Less than 9 months	8.5	12.1	15.5
9-10 months	39.8	46.8	39.3
11-12 months	51.7	41.1	45.2
Mean Number of Months	10.4	10.1	10.2

Source: Comprehensive Program Profile; Item 5: Sample Type #4

Just as programs vary with respect to number of months during which they offer services, there is considerable variation in the number of hours per week that clients attend classes. Programs were asked to indicate the range of hours that clients generally attend class or participate in other instructional activities. As shown on Exhibit 4.4, there is little variation in the range of hours based on program component. The typical ESL client attends class between 5 and 11 hours per week; the typical ABE client attends class between 5 and 13 hours per week; and the typical ASE client attends class between 5 and 13 hours per week.

Exhibit 4.4
Mean range of weekly hours per week that clients attend class by instructional component

Component	Mean Range of Hours Reported by Programs
ESL	5.0 - 11.5
ABE	5.5 - 13.0
ASE	5.2 - 12.7

Source: Comprehensive Program Profile; Item 6: Sample Type #4

Placement and Testing

Programs were asked as part of the Universe Survey whether testing of new clients was done as a regular part of procedures for assessing the needs of new clients. These data are shown on Exhibit 4.5. As the exhibit shows, testing of new clients is more frequently done for ABE (84 percent of programs) and ASE (87 percent of programs) than for ESL (62 percent of programs). Only 1.5 percent of programs did no testing at all of new clients.

Data were also compiled on the percentage of programs which tested clients to assess progress after a certain amount of instruction. Similar, but slightly lower, percentages were found for the three program components as were found for initial testing.

Exhibit 4.5
Percent of programs testing clients for intake and progress assessments by instructional component

Program Component	Percentage of Programs Testing Clients for Intake Assessment	Percentage of Programs Testing Clients for Progress Assessment
ESL	62.4	57.5
ABE	84.3	79.8
ASE	87.2	84.4

Source: Universe Survey: Items 15,16

Programs were also asked what tests were used for ABE clients either at intake or to assess progress. These results are presented in Exhibit 4.6. Of those programs which reported that regular testing was conducted of ABE clients, the TABE was most often used (68 percent of these programs), followed by the Slosson Oral Reading Test (SORT) (23 percent of programs); the Adult Basic Learning Examination (ABLE) (21 percent of programs); the Wide Range Achievement Test (WRAT) (20 percent); and the Comprehensive Adult Student Assessment System (CASAS) (14 percent). Another 31 percent used nonstandardized or local tests.

Exhibit 4.6
Percent of programs using assessment tests in ABE

Name of Test	Percentage of Programs *
Test of Adult Basic Education (TABE)	67.7
Slosson Oral Reading Test (SORT)	22.9
Adult Basic Learning Examination (ABLE)	21.0
Wide Range Achievement Test	20.1
Comprehensive Adult Student Assessment System (CASAS)	14.2
Locally Developed Tests	31.1

Source: Universe Survey: Item 17

* Based on those programs reporting that regular testing was conducted of ABE clients either at intake or to gauge progress.

Coordination and Involvement with Other Organizations

The extent of services a program can offer and the extent to which it can reach and serve clients with the greatest need may be associated with the degree to which a program collaborates with other organizations in its service area. For this reason, several of the questions we asked of the programs related to their involvement with the community which they serve.

Sixty-five percent of the programs reported that there were other organizations in their vicinity providing regular adult education services similar to those that they were providing. As Exhibit 4.7 shows, this varies with population density. As one would expect, the more urbanized areas have a greater likelihood of having programs providing similar services than do smaller communities.

Exhibit 4.7
Percent of programs reporting other organizations providing similar services in their community or target area

Urbanicity	Percentage of Programs
Entire Metropolitan Area	83.3
Center City of Metro Area	88.5
Other Part of Metro Area	78.5
Non-metro, Predominantly Urban	73.2
Non-metro, Predominantly Rural	55.3
All Programs	65.4

Source: Universe Survey: Item 3,6

When multiple programs operate in the same vicinity, some degree of cooperation is expected. Exhibit 4.8 presents the percentages of programs reporting various types of cooperation with other programs in their area. Only about 5 percent of the programs reported having no regular dealings with other local programs. Sharing information and making referrals to each other were the two most frequently used modes of cooperation.

Exhibit 4.8 presents a further breakdown of cooperation by the type of area in which the programs were operating. The results generally show (although not perfectly) a slight decrease in the use of cooperative efforts as the size of the community being served decreases. The larger urban areas generally utilized cooperative techniques more frequently than did the smaller rural communities.

Exhibit 4.8

Percent of programs reporting cooperative efforts with other programs

(of those reporting other local service providers)

Type of Cooperation	Urbanicity					Total
	Entire Metro Area	Center City of Metro Area	Other Part of Metro Area	Non-metro, predominantly Urban	Non-metro, Predominantly Rural	
Share Information	73	74	60	61	46	54
Make Referrals	73	69	62	63	45	54
Joint Planning	50	52	41	40	29	35
Share Staff/ Resources	25	36	29	27	19	23
No Regular Dealings	4	3	3	11	5	5

Source: Universe Survey: Item 7

As Exhibit 4.9 shows, almost three-fourths of the programs reported client referral as support that they regularly received from other organizations. Just under half of the programs reported receiving two further types of support: aid recruiting volunteers and the provision of facilities or equipment. On the other hand, relatively few programs appear to receive regular financial support from other local groups. Unlike the modes of cooperation, the types of support remained very consistent across the various levels of urbanicity.

Exhibit 4.9
Percent of programs by type of support provided by community group and urbanicity category

Type of Support	Urbanicity					Total
	Entire Metro Area	Center City of Metro Area	Other Part of Metro Area	Non-metro, Predominantly Urban	Non-metro, Predominantly Rural	
Refer Clients	78	79	65	73	71	71
Help Recruit Volunteers	49	46	44	44	40	42
Provide Facilities	52	47	44	42	46	45
Pay for Special Services	20	21	17	16	15	16
Contribute Funds	20	24	13	14	16	16

Source: Universe Survey: Item 9

Demand and Capacity

One of the charges of this study is to examine the extent to which the demand for adult education is being met.

This is a complex topic and estimates of program capacity can vary widely, depending on assumptions about the availability of additional funds, qualified staff, and space. Because respondents' assumptions in these areas are not available, and are quite likely varied, the information presented below should not be viewed as conclusive, but rather as a useful starting point for further analyses. Programs were asked on the Universe Survey to report the number of clients on waiting lists both at the end of June 1990 and at mid-October 1990. The data showed that 16 percent of programs reported having clients on waiting lists at the end of June 1990. In October 1990, 25 percent of the programs reported having clients on their waiting lists.

To validate these findings, we also asked the programs responding to the Program Profile (Item 4) to report the maximum number of clients in each program component (ESL, ABE, ASE) that could be served at any one time. We identified which local programs reported that the maximum number that could be served was more, the same, or less than the enrollments reported for the program year 1989-90. Based upon this Program Profile item, we found:

- ESL: 41 percent of the programs were below capacity; 26 percent were at capacity; and 32 percent were operating above capacity;
- ABE: 48 percent were below capacity; 23 percent were at capacity; and 29 percent were over capacity; and
- ASE: 52 percent were below capacity; 18 percent were at capacity; and 30 percent were above capacity.

To confirm these findings we examined the Universe Survey (item 23), in which program directors were asked to provide us with the number of clients they could have accommodated if they had shown up for instruction. As Exhibit 4.10 shows, there is excess capacity in all three instructional components in all sizes of programs. Conversely, capacity was fully met or exceeded in one component or another by most programs.

Since a program may be below capacity in one component and at or above capacity in another, analyses were conducted comparing the total number of clients enrolled and the total of the maximum number of clients that could be served across all three components. From this perspective, only 29 percent of programs indicated they had excess capacity, although 49 percent of all programs had at least one component with an enrollment in excess of their reported capacity. As shown in Exhibit 4.10, this was particularly true for programs with moderately large enrollments (3,500 - 10,000). It should be noted that a number of programs reported that there was no maximum to their enrollments, and that they could be expanded to fill all local needs.

Exhibit 4.10
Percent of programs with excess capacity by program enrollment and instructional component

1989-90 Program Enrollment	ESL	ABE	ASE
Fewer than 500	34.1	53.3	62.8
501 - 1,500	51.6	53.6	43.4
1,501 - 3,500	75.4	70.3	74.7
3,501 - 10,000	93.7	95.1	93.6
More than 10,000	52.2	40.4	40.1
Percent of all programs with excess capacity	40.0	44.6	47.8

Source: Universe Survey: Items 21,23

B. Instructional Program

Instructional Philosophy and Design

There are a variety of approaches that can be taken to the instruction of adult education clients, and adult educators do not all agree upon which are the most effective approaches. In order to get a picture of present practice, we asked respondents to the Program Profile a series of questions about the approaches which are being applied within their programs.

First, we asked them to characterize their programs on four dimensions specifically: (a) the amount of individualization; (b) the emphasis on academic versus workplace and life skills; (c) the use of student selected or designed materials; and (d) reliance on nationally normed versus criterion referenced tests. Each of these variables was described on a five-point scale with two opposing endpoints.

The weighted results for these items are presented in Exhibit 4.11. Overall, the programs tended to describe themselves as using program designed or selected materials (versus student designed or selected materials) and nationally normed tests (versus criterion referenced tests) the most. Concerning the individualized to prestructured dimension, about one-fourth of the programs placed themselves at the midpoint. However, over half of the programs considered themselves to be on the individualized end of the scale.

With respect to an academic versus workplace and life skills emphasis, about one-third of respondents put themselves at the midpoint of the five-point scale, although there was a tendency for the programs to evaluate themselves as placing more of an emphasis on academic skills than on workplace or life skills. It may be that program rating themselves in the middle along this dimension are attempting to be able to respond to the varied needs and preferences of their clientele.

When considering the type of tests that programs rely on, we see that a full 40 percent of programs when weighted to provide national estimates indicated that they are highly reliant on nationally normed tests.

Exhibit 4.11
Percent distribution of programs on four scales characterizing approaches to instruction

Approach	Ratings					Total	Mean
	1	2	3	4	5		
1=Highly Individualized Design, 5=Prestructured/Fixed Design	35.1	22.1	26.5	11.4	4.9	100.0	2.3
1=Emphasis on Academic Skills, 5=Emphasis on Workplace or Life Skills	11.3	44.4	34.4	8.8	1.1	100.0	2.4
1=Student Designed or Selected Materials, 5=Program Designed or Selected Materials	4.5	10.6	15.6	36.3	33.0	100.0	3.8
1=Reliance on Nationally Normed Tests, 5=Reliance on Criterion Referenced Tests	40.2	12.2	15.5	21.1	11.0	100.0	2.5

Source: Comprehensive Program Profile; Item 15: Sample Type #4

On the Program Profile we also asked a series of questions about specific techniques which teachers might use as part of their instructional approach. For want of a better term, we have labelled these techniques as "non-traditional" because they do not include standard lecture or recitation formats. We asked programs to indicate what percentage of teachers use the specific technique using the following four categories: (a) none; (b) few (less than 25 percent); (c) some (25 - 50 percent); and (d) most (over 50 percent). The weighted results for these items are presented in Exhibit 4.12.

As Exhibit 4.12 shows, students' participation in evaluating their own learning gains was the most frequently used non-traditional instructional technique; about three-fourths of the programs reported that some or most of their teachers used such student participation. Although not quite as consistently used, students' participation in planning their own programs was reported by over 90 percent of the programs as being used by a few or more of their teachers. Conversely, learning contracts, student projects, and student journals and/or exchange of letters with students were clearly the least used techniques.

Two techniques, student/teacher prepared instructional materials and modes of assessment of learning gains (excluding tests) were evenly distributed throughout the four categories. Role play, learning games and simulation; problem solving discussion groups; and the use of existing students in new student orientations were used by a few or some of the teachers in most programs, but quite rarely used by over half of a program's instructional staff.

Exhibit 4.12
Instructional techniques used in adult education

Instructional Technique	Percentage of Programs					Mean
	Most Teachers Use (3)	Some Teachers Use (2)	Few Teachers Use (1)	No Teachers Use (0)	Total	
Learning Contracts	10.9	14.2	24.0	50.9	100.0	0.85
Student Projects	10.1	17.7	39.3	32.9	100.0	1.05
Role Play, Learning Games, Simulation	7.6	34.3	38.3	19.8	100.0	1.30
Student Participation in Planning Program	35.0	21.3	35.0	8.7	100.0	1.83
Problem Solving Discussion Groups	22.3	34.0	36.3	7.4	100.0	1.71
Student Participation Evaluating Own Learning Gains	43.0	32.5	20.8	3.7	100.0	2.15
Student Journals and/or Exchange Letters With Students	7.7	13.6	33.3	46.4	100.0	0.83
Use of Existing Students in New Student Orientation	8.9	33.8	26.0	31.3	100.0	1.20
Student/Teacher Prepared Instructional Materials	27.4	28.4	22.4	21.8	100.0	1.61
Modes of Assessment of Learning Gains Other than Tests	25.4	27.1	26.8	20.5	100.0	1.58

Source: Comprehensive Program Profile; Item 19: Sample Type #4

Classroom Learning Environments

Adult educators use a variety of classroom settings and classroom groupings to provide services to their clients. In the Program Profile, we asked respondents to describe the types of classroom settings which are used with their clients.

First we listed seven types of instructional settings and asked about their extent of use in the program. Respondents rated each type of setting in terms of the percentage of total client instructional time using the following four categories: (0) not at all; (1) very little (less than 10 percent of client instructional time); (2) some (between 10 and 30 percent of client instructional time); and (3) a great deal (more than 30 percent of client instructional time). In Exhibit 4.13 we present the percentage of programs using the learning environment "a great deal" of the time, as well as the mean scale values for the specific environments.

Exhibit 4.13
Learning environments used in adult education

Learning Environment	Percent of Programs Using Environment "A Great Deal"	Mean Scale Value*
Individual Instruction (1 on 1 tutoring)	54.3	2.3
Small Group Instruction	41.0	2.1
Classroom Instruction With One or More Aides	27.5	1.5
Computer-assisted Instruction	14.4	1.5
Multi-media Learning Labs or Centers	13.8	1.3
Real or Simulated Workplace Settings	6.4	0.7
Individual Self-Study	6.0	1.0

Source: Comprehensive Program Profile; Item 20: Sample Type #4
*Range for mean scale value: 0-3

Just over half of the programs used individual instruction "a great deal" of the time. Small group instruction and classroom instruction with one or more aides were the next most frequently used environments. Real or simulated workplace settings and individual self-study were the two least-used types of environments.

The mean values, which reflect the ratings of all four categories, have a possible minimum of zero and a maximum of three. They show a patterm very similar to that of the percent of programs using the environment "a great deal," with individual instruction and small group instruction used the most often. Similarly, individual self-study and real or simulated workplace settings had the lowest mean scores, reflecting the least use.

We also asked the programs to report the percent of their adult education clients receiving some or all of their instruction in classes or on a group basis. These data are presented in Exhibit 4.14. Over half of the programs reported that 91-100 percent of their clients received such instruction. Nearly 20 percent, on the other hand, reported that almost none of their clients were instructed in classes or groups.

Exhibit 4.14
Percent of programs by group instruction use

Percent of Clients Receiving Instruction in Classes or Groups	Percent of Programs
91-100	51.1
71-90	14.2
51-70	1.9
31-50	5.0
11-30	8.7
0-10	19.1

Source: Comprehensive Program Profile; Item 9: Sample Type #4

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Exhibit 4.15 presents the mean class sizes of each program component (ESL,ABE, and ASE). The mean class size was fairly consistent across the three program components, ranging between an average of about 13 to 17 clients per class.

Exhibit 4.15
Mean class size by instructional component

Instructional Component	Mean Class Size
ESL	15.3
ABE	13.5
ASE	16.8

Source: Comprehensive Program Profile; Item 9: Sample Type #4

Support Services

In addition to information on instructional services, data were collected to determine the extent to which non-instructional supportive services are offered to adult education clients. Specifically, programs were asked to report the extent to which their clients' needs are being met in eight areas. Client needs in each area were rated as being fully met, somewhat met, or not met at all. Results are presented in Exhibit 4.16.

As the exhibit shows, the area in which programs reported the needs of clients as being most fully met was counseling (42 percent of programs). If fact, only 9 percent of programs reported that the needs of their clients for counseling services were not being met at all. Client needs in the area of job search were being at least somewhat met by 82 percent of programs, and not at all by 18 percent of programs, while client needs for transportation services were being somewhat met by 52 percent of programs and not at all met by 48 percent of programs. Client needs in the five other support service areas in which data were collected were mostly not being met by adult education programs.

Exhibit 4.16
Percent of programs meeting needs of clients by area of support

Area of Support	Percent of Programs Reporting Clients Needs Are Met			
	Not at All	Somewhat	Fully	Don't Know
Child Care	57.5	36.4	6.1	0.0
Transportation	48.3	44.8	6.9	0.0
Health Services	68.6	29.5	0.4	1.5
Counseling	9.1	48.8	42.1	0.0
Job Search Assistance	17.7	71.7	10.6	0.0
Translator Services	57.0	28.0	10.8	4.2
Financial Assistance	63.5	31.5	5.1	0.0
Case Management	57.8	29.4	1.3	11.6

Source: Comprehensive Program Profile; Item 10: Sample Type #4

C. Staffing and Personnel

Experience and Training of Instructors

On the Program Profile, questions were asked about the experience and training of adult education instructors. Specifically, data were collected relative to years of adult education teaching experience, highest education level attained, and certification in adult education. The results of the question on adult education teaching experience are shown in Exhibit 4.17. Approximately four-fifths of full-time instructors at each program have been teaching for more than three years, while the equivalent proportion for part-time instructors is less than one-half.

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Exhibit 4.17
Percent of full-time and part-time instructors by years of teaching experience

Adult Education Teaching Experience	Full-time Instructors	Part-time Instructors
Less than one year	5.9	19.7
One to three years	12.8	33.2
Over three years	81.3	47.1
TOTAL	100.0	100.0

Source: Comprehensive Program Profile; Item 14d: Sample Type #3

Exhibits 4.18 and 4.19 show the educational levels and certification of adult education instructional staff. The majority of teaching staff have a bachelor's degree as their highest degree, and a large percent are certified in areas other than adult education.

Exhibit 4.18
Percent of full-time and part-time instructors by educational background

Education or Certification	Full-time Instructors	Part-time Instructors
Some college or post-secondary education	6.4	5.8
BA/BS	50.0	60.1
MA or higher degree	43.6	34.1
TOTAL	100.0	100.0

Source: Comprehensive Program Profile; Item 14e: Sample Type #3

Exhibit 4.19
Percent of full-time and part-time instructors by teaching certification

Type of Certification	Full-time Instructors	Part-time Instructors
Adult education certification	19.0	7.0
Other certification	67.8	80.8
No certification	13.2	12.2
Total Percent	100.0	100.0

Source: Comprehensive Program Profile; Item 14f: Sample Type #3

We examined differences in teaching experience, educational background, and certification levels of instructional staff based on the program's size, predominant instructional component, and the type of sponsoring organization. No systematic differences were found for any of these three variables.

In-service Training of Instructional Staff

On the Program Profile, programs were asked to indicate the extent, types, and content areas of in-service training which have been provided to instructional staff. First, information was collected on the percent of adult education instructors that had received initial orientation or in-service training in the previous program year. Over all programs, 85 percent of instructors received initial or in-service training. However, there were differences based on characteristics of the programs. In programs sponsored by regional educational agencies, colleges, and public schools, the mean percents of instructors who had received in-service training were 97 percent, 91 percent and 85 percent, respectively; for private voluntary organizations, the mean was only 61 percent. It was also found that for programs which were predominantly ABE and ASE, the mean percent of instructors receiving training were 93 percent and 91 percent, respectively. For predominantly ESL programs, the mean percent was 71.

Programs were also asked to indicate the types of in-service training which had been provided to instructional staff in the previous program year. The results on this question are presented in Exhibit 4.20. Virtually all programs indicated that they had provided at least some in-service training to their instructional staff. As the table shows, workshops and conferences and curriculum development activities were the types of training most frequently provided.

Exhibit 4.20
Percent of adult education programs reporting types of in-service training

Type of In-service Training	Percent of Programs
Workshops and conferences	99.6
Curriculum development activities	73.6
Coaching by supervisors or other	47.7
Participation in university courses related to ESL/ABE/ASE	36.1
Assignment to work in the classroom of a more experienced teacher or staff member	25.9
Other training	1.8
No in-service training provided	12.2

Source: Comprehensive Program Profile; Item 17: Sample Type #4

Respondents were also asked to indicate up to three topic areas which had been a major thrust of adult education-related in-service training in the previous program year. Exhibit 4.21 shows the topic areas which they reported. Training involving reading instruction, client needs assessment, and writing instruction were most frequently mentioned.

Exhibit 4.21
Percent of programs by content area of in-service training

Content Area of In-service Training	Percent of Programs
Improving reading instruction	52.2
Assessing client's needs	44.9
Improving writing instruction	41.5
Improving math instruction	31.5
Preventing client dropouts	29.5
Recruiting clients	18.5
Occupational knowledge relevant to clients	17.2
Dealing with client's personal problems	17.5
Instructing clients with physical handicaps and learning disabilities	15.5
Involving students in planning and evaluating their own programs of instruction	14.0
Relating instruction to clients' ethnic/cultural backgrounds	12.3
Other content area	14.7

Source: Comprehensive Program Profile; Item 18: Sample Type #4

Program Volunteers

In addition to paid staff, adult education programs make use of the services of volunteers. Respondents to the Universe Survey were asked to indicate the number of volunteers used, and on the Program Profile they were asked to describe the activities they performed.

Approximately 74 percent of programs used volunteers. For those programs using volunteers, the mean number of volunteers used was 44; the median was 12. Exhibit 4.22 presents the distribution of the numbers of volunteers used by these adult education programs.

Exhibit 4.22
Number of volunteers used by adult education programs reporting some volunteer activity

Number of Volunteers	Percent of Programs
1-10	48.8
11-20	13.1
21-40	13.4
41-60	6.7
61-80	4.8
81-100	3.2
101-200	5.4
Over 200	4.6
TOTAL	100.0

Source: Universe Survey: Item 26

The number of volunteers reported by different types of programs were compared. There were significant differences based on the size and type of the program. These results are presented in Exhibits 4.23 and 4.24. In general, larger programs and those that were predominantly ASE had more volunteers than average.

Exhibit 4.23
Mean number of volunteers by predominant instructional type

Type of Program	Mean
Predominantly ABE	48.2
Predominantly ESL	37.4
Predominantly ASE	53.6

Source: Universe Survey: Item 21
Note: For those programs which reported using any volunteers

Exhibit 4.24
Mean number of volunteers by program enrollment

Size of Program	Mean
Very small (less than 100)	8.6
Small (100-499)	28.7
Medium (500-999)	65.1
Large (1,000-4,999)	112.9
Very Large (5,000 or more)	102.3

Source: Universe Survey: Items 21,26
Note: A state-wide all-volunteer program was excluded from these calculations.
The large number of volunteers seriously distorts the mean, and is very atypical.

Programs were also asked to indicate the number of volunteers who worked as administrative staff, teachers and instructors, and tutors. Exhibit 4.25 shows the percent of programs reporting at least one volunteer in each role and the mean number of such volunteers per program. Volunteers are most widely used as tutors. It should be noted, however, that the mean numbers of volunteers reported in this survey item were high. Perhaps only those programs with large numbers of volunteers responded to this item.

Exhibit 4.25
Number of volunteers by staff type

(1) Type of Volunteer	(2) Percent of Programs Reporting Having Type of Volunteer	(3) Mean Number of Volunteers
Administrative Staff	7.2	13.2
Teacher and Instructor	13.4	17.3
Tutor and Other Duties	48.1	51.5

Source: Universe Survey; Item 26: Column 2, Sample Type 4; Column 3, Sample Type #3

Finally, data were collected on the number of hours of volunteer time in five specific areas that had been donated in the previous program year. These data are shown on Exhibit 4.26. These data also indicate that volunteers are used mostly as tutors.

Exhibit 4.26
Volunteer time by type of service provided

(1) Type of Volunteer Service	(2) Percent of Programs Receiving Volunteer Service	(3) Mean Number of Volunteer Hours Per Program	(4) Median Numbers of Volunteer Hours Per Program
Individual tutoring	70	2177	1259
Classroom/instruction aide	33	803	300
Client recruitment	29	702	100
Support services	30	988	200
Classroom (group) instructor	21	569	331

Source: Comprehensive Program Profile; Item 12: Column 2, Sample Type #4; Columns 3 and 4, Sample Type #3

D. Program Funding and Expenditure Patterns

This section consists of two parts. The first relates to sources of program funding, based on data from the Universe Survey. The second provides data on patterns of expenditures within adult education programs, and is based on data from the Program Profiles.

Sources of Program Funding

Before beginning to present Universe Survey data on sources of program funding, it is important to point out that there are serious weaknesses in the available data and to articulate what is perhaps the most important finding the analyses of these data provide. Careful scrutiny of the data from the survey of local adult education programs reveals various causes for concern. Local programs, for example, were asked to report their total program budget and then to indicate the amounts of federal funds provided by the Adult Education Act, JTPA, SLIAG, and JOBS. When the amounts reported by local programs to be from the federal Adult Education Act are totaled, however, the total is more than the Department of Education disbursed to the states. This is before even accounting for the portion of federal funds devoted to state administration and other special activities. Similarly, when state-by-state totals for SLIAG and JOBS were reviewed by state directors of adult education, the state directors reported that amounts for their respective states were not correct; generally they were substantially low.

What emerged from a meeting of the study's Technical Advisory Group[8] of state and local program directors and university based researchers which reviewed these data were the conclusions that:

- In many states, federal and state adult education funds are combined at the state department of education level. Where this is true, most local program administrators do not know how much of the funding they receive from the state department of education is federal and how much is from a state appropriation.
- In some states, funds to local programs from the SLIAG and JOBS programs are funneled through the state department of education, and in some of these states the funds are combined at the state level such that local programs do not know how much of the funding they receive comes from which federal source. In some other states, however, the funding is separate until it reaches the local level, and the state department of education does not know how much a particular local adult education program receives.
- In almost all states, JTPA funds go directly to local adult education programs. State departments of education generally do not know how much revenue local programs receive from this source.

As a general rule, therefore, local adult education program directors do not know with any degree of precision how much of their funding comes from which of several possible sources of federal and state funds. Furthermore, there is no single "correct" source for this information. State directors of adult education can provide valid information about the amount of Adult Education Act and related state funds that local programs receive, and they usually can provide valid data about the distribution of SLIAG and JOBS funds to local adult education programs. Almost never, on the other hand, can they provide reliable information on the allocation of JTPA within their states, and occasionally there may be significant other sources of local funding about which they will have no precise data.

The major conclusion by the study's Technical Advisory Group after reviewing these data was that in future studies a critical first step should be a survey of each state adult education director to determine, on a state-by-state basis, who is the best source of for information on each funding source. That important caveat having been made, they also concluded that local directors, while not necessarily knowing where all their funding came from, did have a reasonably good idea about how much they received and how those funds were spent among various activities within their particular program. Thus, it was concluded that despite the weaknesses in the Universe Survey data regarding program finance, it would be useful for the purposes of comparisons with data from other sources to present a portion of these data here, along with their acknowledged imperfections.

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[8] Meeting held in Arlington, VA, July 18, 1991. The Technical Advisory group for the study consists of: two state directors of adult education, three directors of local adult education programs, two university-based professors and researchers of adult education, and representatives of the U.S. Department of Education.

Exhibit 4.27 provides a summary, by state, of the total dollars reported by local programs; the percent of total dollars represented by the state; the total number of clients reported as being served during the program year ending in June 1990; the percent of total clients represented by each state; the amount of total dollars spent per reported client; and each state's rank in terms of per client expenditures. As the table shows, three states -- Florida, California and Michigan -- account for about 55 percent of the total funds and 45 percent of the total number of clients. At the other extreme, 31 states each represent less than 1 percent of the total dollars, and 29 each account for less than 1 percent of the clients reported as served.

As Exhibit 4.27 also shows, overall, the mean amount reported as expended per client was $258, with the data from four states indicating expenditures of less than $100 per client and data from another indicating expenditure of $1,120. Our data do not explain the large deviations from the national mean. However, based on our interactions with local programs during the course of the study, we suspect it may have as much to do with differences in state reporting procedures as with different realities. In the case of Michigan, with by far the highest per client expenditure, for example, the data reported by local programs on the Universe Survey is generally consistent with data available from Federal reports which was based on state-provided information. While we cannot at this time explain why Michigan seems to expend four times the national average per client, this ratio is consistent with other sources of information. But when we compare the ratio of clients reported for a full year to those reported as enrolled at one point in time (October 1990), the Michigan data again stand apart. Nationally, the October enrollments are 45 percent of the full year estimate, but in Michigan, October accounts for 85 percent. Before a great deal is made of state-by-state comparative data, there needs to be a systematic review of what and how program data are operationally defined and reported.

Exhibit 4.27

Summary of total dollars from all sources and adult education clients served by local programs in each state for year ending June 30, 1990

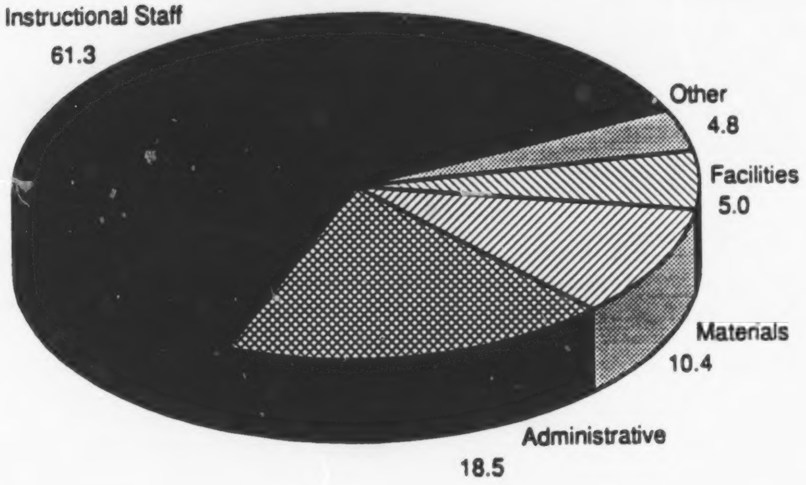
State	Total Expenditures	% of Total Dollars	Clients	% of Total Clients	$/Client	$/Client Rank
AK	2,376,256	0.3	5,576	0.2	511	3
AL	9,320,575	1.2	38,781	1.3	250	19
AR	3,914,360	0.5	21,895	0.7	205	28
AZ	3,260,382	0.4	34,525	1.1	133	40
CA	147,036,511	18.8	1,157,899	38.3	205	27
CO	7,948,178	1.0	19,788	0.7	479	4
CT	12,136,763	1.6	43,898	1.5	328	14
DC	4,763,810	0.6	19,586	0.7	243	21
DE	920,150	0.1	3,008	0.1	348	12
FL	163,425,087	20.9	400,341	13.2	445	6
GA	10,037,537	1.3	85,016	2.8	117	45
HI	828,453	0.1	34,743	1.2	49	51
IA	5,376,381	0.7	36,250	1.2	144	38
ID	546,931	0.1	11,360	0.4	84	50
IL	29,706,991	3.8	164,148	5.4	186	31
IN	15,045,766	1.9	33,443	1.1	464	5
KS	4,194,042	0.5	14,411	0.5	300	16
KY	7,605,226	0.9	30,496	1.0	257	17
LA	6,710,431	0.9	37,488	1.2	209	26
MA	13,163,864	1.6	30,734	1.0	425	7
MD	4,483,829	0.6	42,103	1.4	108	47
ME	3,358,523	0.4	15,211	0.5	236	23
MI	140,248,010	12.8	141,469	4.7	1,120	1
MN	10,037,444	1.3	51,785	1.7	250	20
MO	4,708,463	0.6	33,255	1.1	149	35
MS	2,134,122	0.3	17,113	0.6	128	42
MT	1,526,924	0.2	3,715	0.1	411	8
NC	20,243,319	2.6	107,484	3.6	190	30
ND	1,088,702	0.1	3,496	0.1	387	9
NE	1,435,373	0.2	10,632	0.4	146	36
NH	953,417	0.1	6,503	0.2	197	29
NJ	5,149,392	0.7	43,702	1.4	142	39
NM	2,144,326	0.3	23,620	0.8	91	49
NV	1,916,441	0.3	13,129	0.4	146	37
NY	42,727,075	5.5	179,603	5.9	251	18
OH	10,972,418	1.4	94,450	3.1	119	44
OK	1,708,983	0.2	20,258	0.7	95	48
OR	8,142,099	1.0	42,920	1.4	225	25
PA	19,583,466	2.5	55,455	1.8	360	11
RI	2,340,758	0.3	9,031	0.3	242	22
SC	9,343,824	1.2	58,078	1.9	176	32
SD	1,137,436	0.1	4,388	0.2	325	15
TN	4,567,044	0.6	40,914	1.4	120	43
TX	31,097,729	4.0	247,372	8.2	128	41
UT	4,752,970	0.6	28,159	0.9	172	33
VA	9,371,452	1.2	62,344	2.1	161	34
VT	2,976,160	0.4	6,568	0.2	547	2
WA	7,104,764	0.9	31,987	1.1	225	24
WI	16,181,934	2.1	54,336	1.8	335	13
WV	1,958,091	0.2	21,545	0.7	113	46
WY	1,233,503	0.2	3,327	0.1	371	10
TOTAL	822,848,685		3,696,973		258	

Notes: The per capita dollars are calculated on the basis of Universe Survey data for those programs which reported both enrollments and budget information, and cannot be calculated from the data presented in this table.

Expenditure Patterns

The Program Profile asked several questions about how local programs allocated their funds, and respondents were provided the opportunity to record either actual dollar amounts or percents of their total funds, whichever was more readily at hand. A summary of results of analyzing these responses is presented in Exhibit 4.28. As the exhibit shows, overall, programs allocate about 61 percent of their funds to instructional staff; 19 percent to administrative and clerical costs; 10 percent to instructional materials; 5 percent to facilities, and 5 percent to other expenses.

Exhibit 4.28
Categories and distribution of program expenditures



Source: Comprehensive Program Profile; Item 23: Sample Type #4

Exhibits 4.29 and 4.30 present results of analyses to determine whether there are systematic differences in how funds are expended by size of program or by the predominant type of instruction a program provides. As the exhibits show, there are only relatively minor differences among programs in either regard. With respect to program size, medium programs seem to stand somewhat apart. Programs in which the predominant instructional component is ESL report a 16 percent higher allocation of funds for instructional staff than predominantly ASE programs, and expend about half as much on materials as do predominantly ASE and ABE programs. This may relate to differences in class size and instructional approach, which were previously discussed.

Exhibit 4.29
Allocation of total budget by program enrollment

Expenditure Category	Size of Program					
	All Programs	Very Large	Large	Medium	Small	Very Small
Instructional staff	61.3	58.5	61.6	53.8	64.0	61.3
Administrative staff	18.5	19.3	18.4	22.8	19.8	16.3
Materials	10.4	4.2	6.8	13.1	10.6	10.4
Facilities	5.0	6.8	6.2	3.4	3.4	6.4
Other	4.8	11.2	7.0	6.9	2.2	5.6

Source: Comprehensive Program Profile; Item 23: Sample Type #4

Exhibit 4.30
Allocation of total budget by predominant instructional component

Budget Allocation	Instructional Component			
	All Programs	Predominantly ESL	Predominantly ABE	Predominantly ASE
Instructional Staff	61.3	71.1	61.5	54.9
Administrative staff	18.5	15.0	18.4	20.9
Materials	10.4	6.2	11.2	11.8
Facilities	5.0	3.4	5.4	5.3
Other	4.8	4.3	3.5	5.1

Source: Comprehensive Program Profile; Item 23: Sample Type #4

E. Summary

The purpose of this chapter has been to describe four key adult education program areas: outreach and intake processes; instructional services; staffing; and funding and expenditure patterns. Within each area, data on a number of relevant variables were presented, and where differences were found, cross-tabulations by program size and urbanicity have been shown. Selected findings are highlighted below.

1. Outreach and Intake

- All programs use multiple techniques to attract clients, with announcements in the media being the most frequently used technique.
- The majority of programs reported that new clients can go to any service site operated by the program to register for classes.
- Services for new clients may begin at any time throughout the year at most programs.
- Typically, classes are held for a little over ten months per year.
- On average, clients attend classes approximately 5-12 hours per week.
- Most programs use standardized tests to assess clients at intake and to measure progress. The TABE is most frequently used to assess ABE clients.
- The majority of programs reported that there were other organizations in their communities which provide adult education services similar to those that they were providing. This was more frequently the case in urban areas than in rural communities.
- In terms of the types of cooperation among programs in the same community, more programs reported sharing information and referring clients than joint planning and sharing staff and resources.
- In terms of the types of support received from the community, more programs reported help with client referrals, recruitment of volunteers, and provision of facilities than the contribution of funds or payment for special services.
- In October 1990, 25 percent of programs reported that they could not serve all individuals who needed services and had clients on waiting lists.

2. Instructional Services

- In terms of instructional philosophy, programs tended to describe themselves as using program (rather than student) selected materials, and as using nationally normed (rather than criterion referenced) tests.

- In terms of "non-traditional" instructional approaches, programs most frequently reported student participation in evaluating their own learning gains and student participation in planning their own instructional program.

- Just over half of the programs reported using individual instruction "a great deal" of the time.

- The mean class size if fairly consistent across the three program components, ranging between 13-17 students per class.

- In terms of support services, counseling was the most frequent support service provided by programs, with health services the least frequent.

3. Staffing

- Approximately four-fifths of full-time instructors at each program, and just under half of part-time instructors, have been teaching for more than three years.

- Approximately 40 percent of full-time instructors and one-third of part-time instructors have a Master's or higher degree.

- Overall, 85 percent of instructors have received initial or in-service training, and virtually all programs reported that they had provided at least some in-service training to their instructional staff within the past program year.

- The most frequently reported types of in-service training involved reading instruction, assessment of client needs, and writing instruction.

- Approximately three-fourths of programs use volunteers. Volunteers were most widely used as tutors.

4. Funding and Expenditure Patterns

- The mean amount expended per client was $258.

- Programs allocate about 61 percent of their funds to instructional staff, 19 percent to administrative and clerical costs, 10 percent to instructional materials, 5 percent to facilities, and 5 percent to other expenses.

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APPENDIX A
OVERVIEW OF STUDY DESIGN

The National Evaluation of Adult Education Programs was designed to address 12 major objectives. These are presented in Exhibit A-1. The central purpose of the study is to evaluate the potential of programs supported by the federal Adult Education Act for significantly reducing deficits in the adult population with respect to literacy, English proficiency, and secondary education. This is to be done by collecting descriptive data on program offerings and client service levels, and linking those data to benchmark data on costs and learning gains and to independent estimates of the program's target populations from the 1990 Census and national studies of adult literacy.

The first phase of the evaluation included a short mail survey of the universe of local adult education service providers which received Adult Education Act funding in Program Year 1989-90. That survey was conducted during October and November 1990. The results of the universe survey were used to draw a national sample of service providers for participation in the second phase of the study. The sampled providers were expected to complete a mail questionnaire designed to yield a comprehensive profile of program and service characteristics. These programs were also to provide data for 12 months on the characteristics of a sample of their clients at the time they begin to receive instructional services. For a period of 18 months thereafter, they were also to provide data on the extent and type of instructional services those clients receive. Test data on client learning gains after 70 and 140 hours of instruction are to be provided from a sub-sample of programs, and sub-sample of clients will be contacted by telephone six months after they cease receiving instructional services in order to obtain information about employment related outcomes of the program and about the extent to which the personal objectives of the clients were achieved.

Exhibit A-1

STUDY OBJECTIVES

1. Client populations and patterns of participation. To construct empirically based models of client "flows" through each of the program's service components (ABE, ASE, and ESL) which will permit detailed estimates of client intake, participation, and attrition over time.

2. Factors contributing to client persistence. To identify client background and service-program variables that are positively related to client persistence (or negatively related to client attrition).

3. Reaching adults with basic literacy needs. To identify service-program characteristics that are positively or negatively related to attracting and holding adults with basic literacy needs.

4. Support and cooperation at the local level. To assess the extent to which Federal and State funds for adult education are effectively supplemented by other resources at the local level.

5. Program capacity and demand for services. To develop and compare regional and national measures of unmet (or deferred) demand for adult education services and excess (or under-utilized) service capacity, and to assess the extent to which improved management of existing adult education resources might bring supply and demand into closer balance.

6. Participation rates of target populations. To develop estimates of the size and composition of target populations for each of the program's service components, and, by relating these estimates to data on program clients, to assess levels and rates of program participation for these target populations.

7. Learning gains. To develop estimates of average learning gains as related to hours of instruction and/or tutoring for each program component, and, by applying these estimates to data on participation, to assess aggregate learning outcomes generated by the program over a one-year period.

8. Service costs. To develop estimates of average service costs as related to hours of instruction and/or tutoring for each program component, and, by relating these estimates to data on participation and learning gains, to assess the service costs associated with producing successful outcomes.

9. Employment outcomes. To evaluate the extent to which sustained program participation is significantly associated with favorable employment outcomes, using employment outcomes of early leavers as the standard of comparison.

10. Dissemination. To stimulate wider interest in a discussion of policy issues in adult education by means of timely dissemination of findings and interim reports, commissioned papers on selected issues, and a national conference at the conclusion of the study.

11. Independent research. To facilitate independent research on adult education by issuing unit-record data files for the national samples of service providers and new clients, along with provisions for linking these two files and high-quality user-oriented technical documentation.

12. Analytic agenda. To develop recommendations concerning future analytic agendas for adult education, with special reference to further uses of data from the 1992 National Survey of Adult Literacy and the 1990 Census.

BEST COPY AVAILABLE

Sample of Programs and Clients: The study objectives called for collecting of information for a probability sample of approximately 50,000 clients in 150 programs. Because programs vary in size of enrollment, a multi-stage selection procedure was used. At the first stage, programs were selected with probability proportionate to size,i.e., the larger programs were given a greater probability of selection. The next stage in the sampling process involved selection of sites and clients with their programs. Except for the very large programs, sampling of sites and clients within each program was designed to produce a sample of roughly 366. In order to accommodate the widely varied structure and administrative arrangements of programs, a flexible set of procedures was used. For example, the larger programs, samples of sites and, when necessary, clients within sites were selected. to select sample of sites and clients. For the smallest programs, all clients were included in the sample. For nearly all sample programs, the overall selection probabilities for clients were close to a target value of 1 in 60.

The first step in the program selection process was to group the programs by the four Census regions. Within each region, they were then ordered by their enrollments for the previous year as reported in their response to the Universe Survey of Adult Education Providers. Eighteen programs were determined to be so large as to fall into the study with certainty (a probability of selection equal to one). These 18 "certainty programs" all had enrollments of 20,000 or more.

To ensure that small programs were adequately represented, those with 300 or fewer clients were separated and ordered by size within region. Every sixtieth small program was selected for inclusion in the Study. There were 20 small programs selected. Since the study target was a total of approximately 150 programs and 50,000 clients, we determined the total enrollment of all programs that were neither certainty programs nor small programs and divided by 112, which was the number of programs that were needed to reach the target of 150. The result--21,948 clients--was the sampling interval that was used to select the remaining "mid-sized" programs. Within each Census region, the mid-sized programs were ordered by size and sample programs were selected systematically with probability proportionate to their reported enrollment, using a random starting point between 1 and 21,948.

This process provided the study with the programs to be selected. In the few cases (25) where programs were unable to participate, they were replaced by randomly selecting one of the programs that fell closest to the originally selected program in the list of providers.

In order to maintain the desired overall selection probability for clients at the level of about 1 in 60, it was necessary to select a sample of sites and, in some instances a sample of clients within sites, for each of the certainty programs and most of the mid-sized programs selected for the sample. In order to make it relatively easy for programs to participate in the study, we adopted a strategy that limited the number of their sites included in the study sample but adequately reflected variations in size and other characteristics of interest. For the small sites, all sites and clients are included. For large and mid-sized programs the process followed the following guidelines:

- Lists of program sites and their enrollments were obtained.

- When a program had several sites they were assigned to one of a number of "clusters." The number of clusters developed for a program depended on the enrollments which they reported and number of clients needed per program.

- If the *number* of clients in a site or cluster was significantly larger than the number needed for the sample from that program, a sample of clients in that site or cluster was selected.

In two instances, programs that were selected from the group of smallest programs closed after their selection for participation. These programs were not replaced, inasmuch as the active "life" of programs is of interest to the study.

Ten other programs, subsequent to being selected and having agreed to participate in the Study, elected to not participate. These programs, none of which were certainty programs, left the Study at too late a date to be replaced. Estimation procedures have taken these losses into account in the analyses of results.

Data Collection Procedures and Processing: The research design for the evaluation incorporates the following data collection activities:

Universe Survey: This was a survey of all providers of adult education which received monies through the Basic State Grants portion of the federal Adult Education Act during 1989-1990. A list of the universe of grantees was prepared based on information obtained from the states. A mail survey, with extensive follow-up, was implemented in October and November 1990. Responses were obtained from 2,619 (93 percent) of the 2,819 local service providers. Of the respondents, 306 (11.7 percent) were interviewed by telephone, and were asked only a subset of the questions from the mail questionnaire.

Comprehensive Program Profile: This was a survey to be completed by the directors of the programs participating in the longitudinal phase of the study. Of the 150 selected programs, 138 actually began participation in the study and, at the time of the preparation of the report, completed profiles had been received from 116 local programs.

Client Intake Record: This form consists of two parts. The first part is completed from program intake records, and the second part by newly enrolled clients. These forms provide demographic information about the client and the clients' reasons for their participation in the program. This information is to be obtained on the sample of approximately 50,000 clients who enroll in adult education programs during a twelve month period beginning in mid-April 1991.

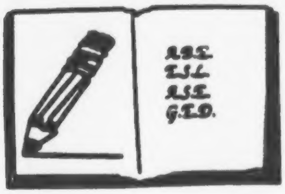
Client Update Record: This form is completed by program staff and provide instructional attendance data about each of the sampled clients for 18 months after they begin instruction. In addition, scores on tests of basic skills given at the time of enrollment and after 70 and 140 hours of instruction will be obtained from a sample of approximately half of the clients.

Telephone Follow-up Interview: Questions regarding employment status, accomplishment clients' personal objectives, and an assessment of the instruction received will be asked of a sample of 9,000 clients six months after they have left the instructional program.

To keep costs within reasonable bounds, the evaluation was designed to rely heavily on staff from local programs for the compilation and transmission of data. Local personnel were trained in the data collection requirements in the Spring of 1991. Monitoring and related quality control procedures were implemented on an on-going basis, and programs regularly provided follow-up information by telephone and mail. In addition, where necessary, supplemental training was provided.

Each of the data collection instruments was designed so they could function as source documents for data processing purposes. When data collection instruments were received, they were carefully reviewed for completeness and legibility by program staff. Where needed, follow-up telephone calls were made to clarify or complete particular items. Following this manual edit, coding of open-ended responses was done in accordance with standard research procedures. Forms were then keypunched, with 100 percent verification, and computer editing was conducted under the guidance of specific editing instructions developed for each form. These generally consisted of checks for completeness, accuracy, internal consistency, and out-of-range values. Analyses of the data were conducted using the SAS statistical packages for microcomputers. Documented data files may be obtained on microcomputer diskettes at cost from the U.S. Department of Education or Development Associates, Inc.

APPENDIX B
UNIVERSE SURVEY OF ADULT EDUCATION PROVIDERS


A.B.E.
E.S.L.
A.S.E.
G.E.D.

OMB No. 1875-0043
Approval Expires 12/31/90

SURVEY OF ADULT EDUCATION SERVICE PROVIDERS
National Evaluation of Adult Education Programs

October, 1990

Dear Director:

Your organization has been identified by State officials as a provider of adult education services and as a recipient of Federal funds for this purpose. As part of the National Evaluation of Adult Education Programs we are seeking information from every such organization in the country--some 3,500 in all. This information will be used to design an in-depth study of adult education service providers and to examine some important questions about available resources.* In responding to this survey, please keep in mind that we are only concerned with adult basic education (ABE), English as a second language (ESL), adult secondary education (ASE), and GED preparation.

This survey is merely the first step in our four-year study, but it is a vitally important one. For this reason, we plan a major followup effort to achieve complete returns. We also plan to keep all participants in this survey informed about the progress of the study by means of periodic bulletins. Please help by returning your completed questionnaire within four working days. Feel free to call our toll free number (see below) if you have questions about this survey or the larger study of which it is a part.

Thank you for your cooperation,

Adult Education Study
1-800/348-7323

* Public reporting burden for this collection of information is estimated to vary from 15 to 37 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1875-NEW, Washington, D.C. 20503.

1. According to State records, your organization received Federal Adult Education funds for the program year ending June 30, 1990. Is that correct? **Check one. If yes, please enter the actual amount.**

___ Yes, we received $______________ in Federal Adult Education funds for the program year ending June 30, 1990.
___ No. We received no Federal Adult Education funds during this period.

2. Does your organization provide adult education (ABE, ESL, ASE/GED) services to individual clients or groups of clients? **Check as many as apply.**

(1) ___ Yes.
(2) ___ No. We do not serve clients directly, but we provide support services to other adult education providers.
(3) ___ No. We distribute funds to other groups who provide adult education services.
(4) ___ Other. **Please explain:**_________________________________

____

____

If you checked yes to Questions 1 and 2, please continue with the rest of the questions. Otherwise, please skip to the last page, respond to the last question (#30) and return this questionnaire in the preaddressed envelope.

FIRST, SOME QUESTIONS ABOUT YOUR COMMUNITY AND LOCAL SUPPORT FOR ADULT EDUCATION.

3. Which of the following categories best describes your community? **Check one.**

(1) ___ Entire metropolitan area.
(2) ___ Center City of metropolitan area.
(3) ___ Other part of metropolitan area.
(4) ___ Non-metropolitan area, predominately urban.
(5) ___ Non-metropolitan area, predominately rural.

4. Does your organization's official service area for adult education correspond to a city, township, county, metropolitan area, or group of counties? **Check one.**

___ Yes. **Please specify name and type of area:**______________________________

____

____

___ No. **Please explain:**______________________________

____

5. Are any of the clients you are now serving from outside your service area? **Check one. If yes, give estimated percentage.**

___ Yes, Roughly ______ percent are from outside our official area.
___ No, all our clients are drawn from our official service area.

___ Other. **Please explain:**______________________________

6. Are there any other organizations in your area that provide adult education services similar to those your organization provides? **Check one.**

___ Yes. **Please go on to the next question.**
___ No. }
___ Not sure. } **Skip to Question 8.**

7. What types of dealings do you have with these other organizations in your area that provide adult education services? **Check as many as apply.**

(1) ___ Share information.
(2) ___ Make referrals to each other.
(3) ___ Participate in joint planning activities.
(4) ___ Share staff or other resources.
(5) ___ No regular dealings.
(6) ___ Other. **Please specify:**______________________________

____

8. Are there groups in your community that regularly provide support to your organization? **Check one.**

___ Yes. **Please go on to the next question.**

___ No. **Skip to Question 10.**

9. What types of support do these groups provide? **Check as many as apply.**

(1) ___ Refer clients to us.
(2) ___ Help us recruit volunteers.
(3) ___ Pay us for providing special services.
(4) ___ Contribute funds.
(5) ___ Provide facilities or equipment for our use.
(6) ___ Other. **Please specify:**______________________________

10. How many volunteers helped your organization provide ABE, ESL, or ASE/GED services during the year ending June 30, 1990? **Enter number or best estimate.**

__________ (Number of volunteers during year ending June 30, 1990)

TWO QUESTIONS ABOUT FUNDING:

11. What was the total amount your organization received from all sources for ABE, ESL, and ASE/GED instructional activities during the year ending June 30, 1990?

Enter actual dollar amount.

12. How much of the total amount reported above came from the Federal programs listed below? **Enter actual amounts received. If none, enter a zero. If you are unable to determine from available records whether funds were received from this source, enter a question mark(?).**

a. __________ JTPA--Title II, Title III or Title IV programs authorized by the Job Training Partnership Act.

b. __________ JOBS--Job Opportunities and Basic Skills program authorized by the Family Support Act.

c. __________ SLIAG--State Legalization Impact Assistance Grants program authorized by the Immigation Reform and Control Act.

NOW, SOME QUESTIONS ABOUT CURRENT CLIENT-INTAKE PROCEDURES:

13. When can services for new clients commence? **Check one.**

(1) ___ Anytime during the year.
(2) ___ Anytime except for the summer months.
(3) ___ Only at regularly scheduled times during the year.
(4) ___ Other. **Please specify:**______________________________

14. Where do new clients have to go to apply or register for service? **Check all that apply.**

(1) ___ To the one facility our organization operates.
(2) ___ To any of the service sites we operate.
(3) ___ To the one site that is set up to handle new applicants.
(4) ___ Other. **Please specify:**______________________________

15. Is testing a regular part of your procedures for assessing the needs of new clients? **Check as many as apply.**

(1) ___ Yes, for clients in English as a Second Language (ESL).
(2) ___ Yes, for non-ESL clients in Adult Basic Education (ABE).
(3) ___ Yes, for clients in Adult Secondary Education (ASE) or GED preparation.
(4) ___ No. New clients are not tested.

16. Are clients tested after receiving a certain amount of instruction or tutoring to gauge their progress? **Check as many as apply.**

(1) ___ Yes, this is done for clients in ESL.
(2) ___ Yes, this is done for non-ESL clients in ABE.
(3) ___ Yes, this is done for clients in ASE or GED preparation.
(4) ___ No. We rely on other methods to evaluate our clients' progress.
(5) ___ Other. **Please specify:**______________________________

17. If you regularly test non-ESL clients in ABE (at intake, later, or both), what test or tests do you use? **Check as many as apply.**

(1) ___ We do not serve non-ESL clients in ABE.
(2) ___ We do not use tests for non-ESL clients in ABE.
(3) ___ We use nonstandardized or locally developed tests.
(4) ___ We use the Test of Adult Basic Education (TABE).
(5) ___ We use the Adult Basic Learning Examination (ABLE).
(6) ___ We use the Slosson Oral Reading Test (SORT).
(7) ___ We use the Comprehensive Adult Student Assessment System (CASAS).
(8) ___ We use the Wide Range Achievement Test (WRAT).
(9) ___ We use ______________________________
(name of other standardized test)

NOW, SOME QUESTIONS ABOUT THE SIZE OF YOUR ADULT EDUCATION CLIENT GROUPS:

Please respond to Questions 18 through 23 by entering the appropriate numbers below. Note that each question has three parts corresponding to ESL, ABE, and ASE/GED (columns a, b, and c). If the question doesn't apply to your situation or if the answer is none, enter a zero. If you don't know the exact number, please give us your best guess.

FOR PROGRAM YEAR ENDING JUNE 30,1990	(a) clients in ESL	(b) other clients in ABE	(c) clients in ASE/ GED
18. For purposes of Federal reporting, how many clients did you serve during the year?			
19. How many additional clients were accepted during the year but failed to start or dropped out too early to be counted in your report?			
20. How many clients who applied during the year were still waiting to start at the end of the year?			
AS OF NOW (MID-OCTOBER, 1990)			
21. How many clients are enrolled or being served?			
22. How many clients are on a current waiting list?			
23. How many additional clients could you be serving now if they had shown up at the right time?			

A FEW QUESTIONS ABOUT FACILITIES AND STAFF:

24. At how many different sites does your organization regularly provide ABE, ESL, or ASE/GED instruction? **Enter number in box.**

☐ Number of sites

25. Considering all client services provided by your organization in a typical week, how are those services distributed by type of site? **Enter percents for each type. If none, enter a zero.**

____ % Public high school.

____ % Community college building.

____ % Adult learning center (single-use facility).

____ % Multi-use community center.

____ % Clients' place of work in space provided by employer.

____ % Adult correctional facility.

____ % Other. **Please specify:**____

100% Total (of all client services provided in typical week)

26. How does your organization's adult education (ABE, ESL, ASE/GED) staff break down by type of duties and pay status? **Please respond by filling in a number for each of the blanks in the table below. If none for any cell, enter zero.**

	Type of duties		
Pay status	Number of administrative staff	Number of teachers and instructors	Number of tutors and all others
Full time...	____________	____________	____________
Part time...	____________	____________	____________
Volunteer...	____________	____________	____________

FINALLY, SOME QUESTIONS ABOUT YOUR FURTHER PARTICIPATION IN OUR STUDY:

27. Our national study will collect detailed background, service, and followup information on representative samples of new clients over a 30 month period. Would information of this type be of value to your organization? **Check one.**

___ Yes.
___ Probably.
___ It's doubtful.

28. If satisfactory arrangements were made to train your staff and compensate your organization for the recordkeeping burden involved, what would be your feeling about participating further in this national study? **Check one.**

___ Definitely interested.
___ Interested, but I have some reservations.
___ Doubtful, but maybe I could be persuaded.
___ Other. **Please specify:**____
____

29. Regardless of your further participation in our study, would you be interested in receiving periodic bulletins on the progress of the study? **Check one.**

___ Yes. **(Please review the mailing label at the bottom of this page for accuracy)**
___ No.

30. May we contact you if we have questions about your responses on this questionnaire?

___ Yes.________________________________ (name) ____________________ (area) (local phone)
___ No.

Thank you very much for your prompt response. Please use the preaddressed envelope for returning this questionnaire.

APPENDIX C
COMPREHENSIVE PROGRAM PROFILE SURVEY

OMB Approval No.: 1875-0055
Expiration Date: 8-31-93

NATIONAL EVALUATION OF ADULT EDUCATION PROGRAMS COMPREHENSIVE PROGRAM PROFILE

This questionnaire is part of a national evaluation of adult education programs which receive federal funding. Your program is one of the 150 programs across the country which was randomly selected and agreed to participate in this study. An important part of the evaluation is the completion of this questionnaire. The information you provide will be used to make national and regional statements about programs funded by the Adult Education Act, and will also be used to help interpret the client level information collected at your site.

The focus throughout the questionnaire is on ABE, ASE and ESL[*] activities. If you are responsible for other programs, try to distinguish them from ABE, ASE, and ESL activities in responding to this questionnaire.

We have tried to keep the questionnaire brief and easy to complete.[**] We estimate it will take less than 1 hour to finish. Should you have any questions, please call the following toll free number and ask for the Adult Education Study: 1-800-348-7323. Thank you for your cooperation.

Name and Title of person completing this form:

____

Area Code/Telephone No.:______________________

Date Form Completed: ______________________

---

[*] ABE = Adult Basic Education; ASE = Adult Secondary Education; including GED preparation; ESL = English as a second language.

[**] Public reporting burden for this collection of information is estimated to requre approximately 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Divison, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1875-NEW, Washington, D.C. 20503.

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Completed forms should be returned within two weeks in the attached postage-paid envelope to:

Adult Education Study
Development Associates, Inc.
1730 North Lynn Street
Arlington, VA 22209-2009

1. For how many years has this agency provided:

ESL Programs ________
ABE Programs ________
ASE/GED ________

2. How many years has this agency received Federal Adult Education Act funds?

____

3. Please indicate the number of clients **currently enrolled** in your program in each of the following categories. Count each client only once. (Persons participating in ESL should be counted only as ESL.)

Clients in ESL ________
Clients in ABE ________
Clients in ASE/GED ________

4. What is the maximum number of clients your program can serve at one time?

ESL ________
ABE ________
ASE/GED ________

Comments/elaborations if any:

5. How many months during the year are adult education classes held?

ESL: ________ months

ABE: ________ months

ASE/GED: ________ months

6. What is the range of hours per week students generally attend class or participate in other instructional activities?

ESL: _____ - _____ hours

ABE: _____ - _____ hours

ASE/GED: _____ - _____ hours

7. For Program Year 1989-90, specify the number of clients in the following categories (unduplicated count) served in your ESL, ABE, and ASE/GED programs:

		ESL	**ABE**	**ASE/GED**
a)	Total	_____	_____	_____
b)	Women	_____	_____	_____
c)	16-17 years old	_____	_____	_____
	18-24 years old	_____	_____	_____
	25-44 years old	_____	_____	_____
	45-59 years old	_____	_____	_____
	60 years and older	_____	_____	_____
d)	American Indian or Alaskan Native	_____	_____	_____
	Asian or Pacific Islander	_____	_____	_____
	Black, not of Hispanic origin	_____	_____	_____
	Hispanic	_____	_____	_____
	White, not of Hispanic origin	_____	_____	_____
e)	Institutionalized (Correctional)	_____	_____	_____
	Institutionalized (Other)	_____	_____	_____

8. Approximately how many of your current adult education clients are enrolled for each of the following time periods?

		ESL	ABE	ASE/GED
a)	5 or more days/ week	________	________	________
	2-4 days/week	________	________	________
	1 day or less/week	________	________	________
b)	During the day	________	________	________
	In the evening	________	________	________

9. What percentage of your adult education clients receive some or all of their instruction in classes or on a group basis?

a) ______ % If none, skip to Item 10.

b) What is the average size of classes where instruction is provided on a group basis?

ESL _____

ABE _____

ASE/GED _____

10. To what extent are the needs of your clients in the areas listed below being met by services offered as part of your adult education program? *(For each row check the appropriate column.)*

		Not at All	Somewhat	Fully	Don't Know
a)	Child care	_____	_____	_____	_____
b)	Transportation	_____	_____	_____	_____
c)	Health services	_____	_____	_____	_____
d)	Counseling	_____	_____	_____	_____
e)	Job Search Assistance	_____	_____	_____	_____
f)	Translator Services	_____	_____	_____	_____
g)	Financial Assistance	_____	_____	_____	_____
h)	Case Management	_____	_____	_____	_____

11. To what extent do you rely on the following ways to recruit potential adult education clients? In responding, please assume that "very little" means that this approach accounts for less than 10% of your recruiting effort, and that "some" means that 10% to 50% of your recruiting relies on the use of this technique. (Check the appropriate column for each row in the following list.)

		Not at All	Very Little	Some	A Great Deal
a)	Announcements in mass media (TV, radio, etc.)	____	____	____	____
b)	Fliers, posters, mailings	____	____	____	____
c)	Referrals from welfare, employment, social agencies, or community programs	____	____	____	____
d)	Recruitment by co-sponsoring groups	____	____	____	____
e)	Contacts with supervisors or counseling	____	____	____	____
f)	Staff member assigned to recruitment	____	____	____	____
g)	Organized recruitment by current clients	____	____	____	____
h)	Recommendations by current clients	____	____	____	____
i)	Local residents used as recruitment aides	____	____	____	____
j)	Other (specify:__________)	____	____	____	____
k)	Other (specify:__________)	____	____	____	____

12. How many hours of volunteer time were donated to your program over the last program year? (If none, enter zeroes.)

Individual tutoring: ______ hours

Group instruction lead by volunteer: ______ hours

Classroom/Instructional aide: ______ hours

Support Services: ______ hours

Recruitment: ______ hours

13. How would you characterize the involvement of each of the following types of public and private organizations (other than your agency) with your program? For each row, check the appropriate column(s).

	Not significantly Involved	Involved in Planning	Involved in Recruiting/Referrals	Provide Funding	Provided staff, facilities, & other resources	Other (Specify below)
a) Local school district						
b) Community college						
c) Area voc-tech schools						
d) State and local employment and training agencies						
e) Literacy councils /organizations						
f) Religious groups						
g) Businesses or labor unions						
h) Representatives of special adult populations						
i) Other fraternal, voluntary or community organizations						
j) Public libraries						
k) Hospitals						
l) Other state and local agencies						

14. For your current adult education instructional program, what is the number of instructors (not including volunteers) who....?

a) Teach Full-time __________

Teach Part-time __________

b) Teach in the program:	Full-time Staff	Part-time Staff
10-12 months/yr	______	______
6-9 months/yr	______	______
less than 6 months/yr	______	______

c) Teach:	Full-time Staff	Part-time Staff
day classes only	______	______
night classes only	______	______
day and night	______	______

d) Have taught ESL, ABE, or ASE/GED classes in your program:	Full-time Staff	Part-time Staff
less than 1 year	______	______
1-3 years	______	______
over 3 years	______	______

e) Have completed:	Full-time Staff	Part-time Staff
some college or post-secondary education	______	______
BA/BS	______	______
MA or higher degree	______	______

	Full-time Staff	Part-time Staff
f) Are:		
certified specifically in adult education	_____	_____
certified in area other than adult education	_____	_____
not certified	_____	_____

	Full-time Staff	Part-time Staff
g) Besides teaching:	_____	_____
have no other program responsibilities	_____	_____
have other program responsibilities	_____	_____

	Full-time Staff	Part-time Staff
h) Teach:		
ABE only	_____	_____
ASE only	_____	_____
ESL only	_____	_____
ABE & ASE	_____	_____
other combinations	_____	_____

15. Where would you place your program on the following continua:
(Mark an "x" on the appropriate line.)

a) Highly Individualized Design	____ ____ ____ ____ ____	Prestructured/ fixed Design
b) Emphasis on Academic Skills	____ ____ ____ ____ ____	Emphasis on Workplace or Life Skills
c) Student Designed or Selected Materials	____ ____ ____ ____ ____	Program Designed or Selected Materials
d) Reliance on Nationally Normed tests (TABE, ABLE, etc.)	____ ____ ____ ____ ____	Reliance on Criterion Referenced Tests

16. What percentage of your adult education instructors have taken initial orientation or in-service training within the past program year?

______ %

17. During the past program year, which of the following forms of in-service training have been provided to your instructional staff? (Check all that apply.)

a) No in-service training provided _____ (Skip to 19)

b) Assignment to work in the classroom of a more experienced teacher or staff member _____

c) Participation in curriculum development _____

d) Coaching by supervisors or others _____

e) Workshops and conferences _____

f) Participation in university courses related to your work in ESL/ABE/ASE _____

g) Other (specify) ________________ _____

18. During the past program year, which of the following have been a major thrust of the adult education-related in-service training for your instructors? **(Check no more than 3.)**

a) Improving reading instruction ______

b) Improving writing instruction ______

c) Improving math instruction ______

d) Assessing client's needs ______

e) Recruiting clients ______

f) Instructing clients with physical handicaps and learning disabilities ______

g) Counseling and otherwise dealing with clients' personal problems ______

h) Providing instructors with occupational knowledge relevant to their clients ______

i) Relating instruction to clients ethnic/cultural backgrounds ______

j) Preventing client dropouts ______

k) Involving students in planning and evaluating their own programs of instruction ______

l) Other (specify)______________________ ______

19. What percentage of teachers use each of the following?
(Check appropriate responses.)

	None	Few (less than 25%)	Some (25%-50%)	Most (over 50%)
a) Learning contracts	____	____	____	____
b) Student projects	____	____	____	____
c) Role play, learning games, simulations programs	____	____	____	____
d) Student participation in planning own program	____	____	____	____
e) Problem solving through discussion groups	____	____	____	____
f) Student participation in evaluating own learning gains	____	____	____	____
g) Student journals and/or exchange letters with students	____	____	____	____
h) Use of existing students in new student orientation	____	____	____	____
i) Student/teacher prepared instructional materials	____	____	____	____
j) Modes of assessment of learning gains other than tests (e.g. portfolios)	____	____	____	____

20. To what extent does your program use each of the following learning environments?
(In responding, assume that 'very little' means less than 10% of total client instructional time and that 'some' means 10% to 30% total client instructional time. Check the appropriate column for each learning environment.)

	Not at All	Very Little	Some	A Great Deal
a) Individual instruction, (e.g., one-on-one tutoring)	____	____	____	____
b) Individual self-study with no instructor or tutor present	____	____	____	____
c) Small group instruction for students with similar problems	____	____	____	____
d) Classroom style instruction with 1 or more aides	____	____	____	____
e) Multi-media learning labs or centers	____	____	____	____
f) Computer-assisted instruction	____	____	____	____
g) Real or simulated workplace settings	____	____	____	____
k) Other (specify:__________)	____	____	____	____

21. What is your organization's total budget, not including non-cash contributions, for ABE, ESL, and ASE/GED activities for the year ending June 30, 1991?

$__________

22. Over and above the budget amount you provided in response to Question 21, do you receive any non-cash in-kind and/or donated contributions?

_____Yes _____No

Roughly, how much of an increase would you need in your budget if you had to pay for the facilities, goods and services your program now receives as in-kind contributions?

___ None, no in-kind received

___ about a 25% increase

___ about a 50% increase

___ about a 75% increase

___ about a 100% increase

___ more than 100%

(if over 100%, what's your best guess?_____%)

23. What percentage of your total budget (Question 21) is devoted to the following: (Answer using dollars **or** as a percentage, which ever is easier.)

a)	Administrative staff	_____ %	$_______
b)	Instructional staff	_____ %	$_______
c)	Counseling staff	_____ %	$_______
d)	Clerical and other staff	_____ %	$_______
e)	Instructional materials/equipment	_____ %	$_______
f)	Facilities	_____ %	$_______
g)	Utilities	_____ %	$_______
h)	Custodial Services	_____ %	$_______
i)	Office equipment/furniture/supplies	_____ %	$_______
j)	Other (specify):__________	_____ %	$_______
k)	Other (specify):__________	_____ %	$_______
	TOTAL	100 %	$_______

*Should be equal to amount in Item 21

24. Of your overall total cash budget (see Item 21) for ESL, ABE, and ASE, approximately what percentage comes from each of the following sources? (Answer using dollars or as a percentage, which ever is easier.)

a) Federal government (all sources)	____ %	$ ________
b) State government (all sources)	____ %	$ ________
c) Local government (all sources)	____ %	$ ________
d) Donations	____ %	$ ________
e) Other	____ %	$ ________
TOTAL	100 %	$ ________*

* Should be equal to amount in Item 21.

Please list other sources, if any, and the approximate dollar amount or percentage of your total resources that each contributes:

Source		
a) ________________	____ %	$ ________
b) ________________	____ %	$ ________
c) ________________	____ %	$ ________

25. Of your federal funds for ESL, ABE, and ASE (reported in Item 24a), approximately what percentage comes from each of these sources? (Provide dollar amounts if that is easier.)

a) Federal Adult Education Act	____ %	$ ________
b) JTPA	____ %	$ ________
c) Family Support Act	____ %	$ ________
d) IRCA	____ %	$ ________
e) Other (specify:________________)	____ %	$ ________
e) Other (specify: ________________)	____ %	$ ________
e) Other (specify: ________________)	____ %	$ ________
TOTAL	100 %	$ ________*

* Should be equal to amount given in response to Item 24a.

27. Has an outside (i.e., independent or 3rd party) evaluation of your adult education program been conducted in the last 3 years?

a) _____Yes _____No

b) If yes, in which of the following areas, if any, have changes occurred as a result of the evaluation. *(Please check all that apply).*

1. Hours of service _____
2. Location of services _____
3. Type of method of instruction _____
4. Type of extent of supportive services _____
5. Type or qualifications of staff _____
6. Type or amount of in-service training _____
7. Fund-raising/fiscal support _____

8. Other (specify: _____________)

9. Other (specify: _____________)

- Thank you -

Please return completed form in the attached postage paid envelope to:

Adult Education Study
Development Associates, Inc.
1730 North Lynn Street
Arlington, VA 22209-2009

APPENDIX D

Estimation of Sampling Errors for Program Characteristics

The statistics presented in this report are based on a stratified sample using both random, and PPS sampling. For a more complete explanation of the sampling procedures one may request a copy of "An Overview of the Sampling Procedures Used in the Selection of Programs, Sites, and Clients for The National Evaluation of Adult Education Programs" from the authors.

In this appendix we provide the formulae which may be used to estimate the variance and standard deviations for any variable used in the study. The difference between a statistic estimated from the sample and its corresponding universe value occurs due to chance, and that chance variation can be measured in terms of confidence intervals. To provide an example, the chances are 95 out of 100 that the estimated proportion of teachers of adult education that have more than 3 years experience, is 57.3 percent plus or minus 9.6 percent. Thus, the 95% confidence interval is

57.3 ± 9.6, or a range of 47.7 to 67.0 (see Equation 11).

The formulas provided are for estimated proportions:

$$P = \frac{X}{Y} \qquad (1)$$

For example, X might be the number of teachers with more than 3 years experience teaching ESL, ABE, or ASE and Y the total number of teachers.

If P is the proportions of **programs** with some characteristic, e.g., use of individual instructions, the value of X_{ij} (for program *j* in stratum *i*) will always be 0 or 1 and the value of Y_{ij} will always be 1 (except for programs not operating in the study year). The *i* subscripts represent the 3 strata:

$i = 1$	Certainty
$i = 2$	Medium
$i = 3$	Small

Assumed estimation formulas:

$$P' = \frac{X'}{Y'} = \frac{X'_1+X'_2+X'_3}{Y'_1+Y'_2+Y'_3} \qquad (2)$$

Where X and Y are defined as:

$$X'_1 = R_1 \sum_j X_{1j} \qquad (3)$$

The R_i's are non-response weights, assumed to be constant within each stratum.

$$X'_2 = R_2 \sum_j \frac{X_{2j}}{\rho_{2j}} \qquad (4)$$

ρ = Probability of selection of program *j*.

$$X'_3 = R_3 \frac{N_3}{n_3} \sum_j X_{3j} \qquad (5)$$

N_3 = number of programs in smallest stratum (1260).
n_3 = number of sample programs

Formulas for the Y_i's are analogous, replacing X_{ij} by Y_{ij}.

The basic variance formula :

$$\sigma^2_{P'} = \frac{1}{Y^2} [\sigma^2_{X'_2} + \sigma^2_{X'_3} + P^2 (\sigma^2_{Y'_2} + \sigma^2_{Y'_3}) - \frac{2P}{XY} (\sigma_{X'_2 Y'_2} + \sigma_{Y'_3 Y'_3})] \qquad (6)$$

$$\textit{Standard Deviation} = \sqrt{\sigma^2_{P'}} \qquad (7)$$

$$(CV)^2 = \frac{100^2}{X^2} [\sigma^2_{X'_2} + \sigma^2_{X'_3} + P^2 (\sigma^2_{Y'_2} + \sigma^2_{Y'_3}) - \frac{2P}{XY} (\sigma_{X'_2 Y'_2} + \sigma_{Y'_3 Y'_3})] \qquad (8)$$

Components of the variance formula:

Stratum 2 (medium-sized programs):

$$\sigma^2_{X'_2} = R^2_2 \frac{n_2}{n_2-1} \sum_j \left(\frac{X_{2j}}{\rho_{2j}} - \bar{X}_2 \right)^2$$

$$\text{with } \bar{X}_2 = \frac{1}{n_2} \sum_j \frac{X_{2j}}{\rho_{2j}} \tag{9}$$

$$\sigma^2_{Y'_2} = \textit{the same, substituting } Y \textit{ for } X$$

$$\sigma_{X'_2 Y'_2} = R^2_2 \frac{n_2}{n_2-1} \sum_j [\left(\frac{X_{2j}}{\rho_{2j}} - \bar{X}_2 \right) \left(\frac{Y_{2j}}{\rho_{2j}} - \bar{Y}_2 \right)$$

Stratum 3 (smallest programs):

$$\sigma^2_{X'_3} = R^2_3 \, N^2_3 \, \frac{1}{n_3} \, \frac{\sum_j (X_{3j} - \bar{X}_3)^2}{n_3 - 1}$$

$$\text{with } \bar{X}_3 = \frac{1}{n_3} \sum_j X_{3j} \tag{10}$$

$$\sigma^2_{Y'_3} = \textit{the same, substituting } Y \textit{ for } X.$$

$$\sigma_{X'_3 Y'_3} = R^2_3 \, N^2_3 \, \frac{1}{n_3} \, \frac{\sum_j (X_{3j} - \bar{X}_3)(Y_{3j} - \bar{Y}_3)}{n_3 - 1}$$

The confidence interval of 95% is calculated:

$$\hat{P}' \pm 1.96 \sqrt{\sigma^2_{P'}} \tag{11}$$

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